

U.S. DEPARTMENT OF COMMERCE

Performance Progress Report

2. Award Or Grant Number

36-50-M09010

4. Report Date (MM/DD/YYYY)

06-26-2012

1. Recipient Name

NY State Office of Cyber Security

6. Designated Entity On Behalf Of:

New York State

3. Street Address

Harriman State Office Campus , 1220 Washington Avenue, Bldg. 7A, 4th Fl,

5. City, State, Zip Code

Albany, NY 12226-1800

8. Final Report?

Yes

No

9. Report Frequency

Quarterly

Semi Annual

Annual

Final

7. Project / Grant Period

Start Date: (MM/DD/YYYY)

10-01-2009

7a.

End Date: (MM/DD/YYYY)

09-30-2014

7b.

Reporting Period End Date:

06-30-2012

9a. If Other, please describe:

N/A

10. Broadband Mapping

10a. Provider Table

Number of Providers Identified	Number of Providers Contacted	Number of Agreements Reached for Data Sharing	Number of Partial Data Sets Received	Number of Complete Data Sets	Number of Data Sets Verified
0	0	0	0	0	0

10b. Are you submitting the required PROVIDER DATA by using the Excel spreadsheet provided by the SBDD grants office? Yes No

10c. Have you encountered challenges with any providers that indicate they may refuse to participate in this project? Yes No

10d. If so, describe the discussions to date with each of these providers and the current status

While our most recent outreach efforts (Jan. - Mar. 2012) did result in three new fixed wireless providers joining the program, we continue to encounter challenges with a small number of providers we would like to have participate. Most of those are fixed wireless providers. The details of those challenges are:

- Intellifiber Networks – Believed to be fiber backbone infrastructure/middle mile only, non-responsive; Status: NY will continue to seek participation as we are interested in mapping fiber backbone/fiber rings to answer economic development questions being asked within our state government.
- Blue Wireless – Remains non-responsive; Status: fixed wireless company, NY will continue to seek participation.
- Lightlink – Remains non-responsive; Status: fixed wireless company, NY will continue to seek participation.
- Logical Net – Non-responsive to requests in R5. Status: fixed wireless company, NY will continue to seek participation.
- Plexicomm – Continued to promise data for R5 but has not delivered to date. Status: fixed wireless company, NY will continue to seek participation.
- Metro PCS - Continues to be non-responsive; Status: small mobile wireless company, NY will continue to seek participation.
- Simtronics/Airxcess – Continues to be non-responsive; Status: fixed wireless company, NY will continue to seek participation.
- Wireless LLC/WINC Communications - Continues to be non-responsive; Status: fixed wireless company, NY will continue to seek participation.
- WNY Net – Continues to be non-responsive; Status: fixed wireless company, NY will continue to seek participation.

Please note, NY has made the decision to no longer actively seek information from resellers, therefore challenges encountered with resellers are no longer listed.

10e. If you are collecting data through other means (e.g. data extraction, extrapolation, etc), please describe your progress to date and the relevant activities to be undertaken in the future

In June of 2012 we received a broadband service availability map for one NY county from a private citizen who is working with municipal and county officials in order to accurately identify served and unserved areas within that county for planning purposes, negotiating with cable providers and preparing grant proposals. We compared this map to what was reported to us directly from providers. There are many areas where the two data sources are in conflict. Some of the conflicts occur because of the "one served, all served" assumption used for census blocks less than two square miles in area. We had a detailed discussion with the private citizen concerning the methodology he used to create his map. We believe that methodology is reasonable but not error-free. The outcome is that we feel little can be done in areas where the conflict is caused by the granularity of the current State Broadband Initiative reporting

criteria (census block), but for other areas we are seeking a third data source to corroborate the citizen's map or the provider data. We are also creating one on our own. That is being done by using address points to model the likelihood that a cable company would provide service on individual road segments.

Additionally, since July of 2010, the NYS Broadband Mapping Team has been receiving independently collected speed data through a joint effort with the Center for Technology in Government (CTG). A web-based application uses "crowd sourcing" to survey and collect information regarding NYS users' access to broadband services. It allows users to run a speed test to identify the actual broadband speeds they experience at the time the test is taken. The speed data, provider name, technology used and the location where the test was taken are being captured. The data is being used to assist with the verification of information received directly from providers. 8741 NYS residents had taken the speed test as of the end of this reporting period.

10f. Please describe the verification activities you plan to implement

As previously reported, we plan to use Automatic Vehicle Location (AVL) data from State Trooper patrol vehicles to identify dead zones in Verizon's reported wireless service areas. We are in the process of obtaining the data from the Division of State Police. Our objective is to refine our Verizon wireless polygons for our October 1, 2012 SBI deliverables.

In June of 2012, we received training from our Public Utilities Commission on how to use Google Street View to identify the presence of coaxial cable and residential Fiber-to-the-Home on utility poles. We have begun looking at "questionable areas" of availability reported by providers. Our objective is to refine cable data for our October 1, 2012 deliverables.

We also analyzed the results returned in the NTIA Assessment Geodatabase. The results have helped us identify provider supplied data that needs further verification. This information will be used to improve future provider outreach activities and potentially steer us in the direction of new verification activities.

Lastly, we are using the modeled cable availability data described in 10e above, Google Street View, central office locations and DSLAM locations to help us identify partially served census blocks. We intend to add a field to the census block level availability data to identify partially served blocks with the eventual goal of differentiating fully served and partially served blocks on the NYS Broadband Map. We anticipate having some partially served block data developed for our October 1, 2012 deliverables and plan to identify partially served blocks on the NYS Broadband Map in October or November of 2012.

Please refer to the Q2 2012 Supplemental Answers Document for additional details.

10g. Have you initiated verification activities? Yes No

10h. If yes, please describe the status of your activities

This information was also supplied in NY's April 1, 2012 Methodology Paper and is unchanged from the Q1 PPR

Verification List:

1. Automated tools
 - a. Domain and topology rules in delivery geodatabase
 - b. Submission scripts
 - c. Feature dataset cross checks
2. Provider website research
3. Crowd-sourced data
 - a. NYS Speed Test data points
 - b. FCC Speed Test records
 - c. NYS Broadband Map feedback
4. Use of government data sources
 - a. FCC Aggregated 477 Data
 - b. NYS DMV data
 - c. NYS Lottery terminal data
 - d. NYS Streets and Address ranges
 - e. NYS Address Points
 - f. NYS Orthoimagery
 - g. NYS Public Service Commission Cable Franchise Agreements data
5. Commercial data sources
 - a. TomTom Data ILEC, CLEC and Rate Center Exchange Boundary data
 - b. Online look up tools for middle mile & central office locations
 - c. NAVTEQ address points
 - d. Pictometry oblique aerial imagery/Google's Street View
 - e. APNIC Whois database (publicly available IP Address search engine)

6. Select Community Anchor Institution (CAI) locations
7. Provider verification maps
8. Clip wireless data to NYS Boundary
9. Removal of 'uninhabited areas'
10. Other Grantee State Broadband Maps and National Broadband Map
11. Broadband Organizations: NYSTA, CTANY, WISPA

For details concerning these verification activities, please refer to the Q2 2012 Supplemental Answers Document.
 10i. If verification activities have not been initiated please provide a projected time line for beginning and completing such activities

Please see 10f for details regarding additional planned verification activities.

Staffing

10j. How many jobs have been created or retained as a result of this project?

12.08

10k. Is the project currently fully staffed? Yes No

10l. If no, please explain how any lack of staffing may impact the project's time line and when the project will be fully staffed

Currently, the two areas of NY's broadband program impacted by less than full staffing are the Capacity Building project and Address Point File project. The Capacity Building project is supposed to be staffed with two full-time employees. The Outreach Coordinator position was filled on April 17, 2012. There are plans to either contract for the Project Manager position or transition the part-time Director position to full-time and switch that salary and fringe from matching funds to federal funds. There appears to be sufficient surplus matching funds so that would be possible without a negative impact to NY's 20% match requirement. Regarding the project time line, the Director is currently researching vendors who may be able to provide some of the services originally planned to be performed by in-house staff.

For the Address Point file project, the project team will be releasing a Request for Proposal during Q3 of 2012. The selected vendor will supply the staffing to bring us to the overall estimated total of 18 FTEs. The vendor's work creating address points will be scheduled for completion by September 30, 2014.

As reported for the last two quarters, difficulties in staffing have had a significant negative impact on overall grant spending. The budgets of all four projects funded under New York's SBI grant have large components for personal services and fringe as well as contracted staff resources. Now that all planned in-house hiring has been completed, the future spending rate will begin to be more in line with our original project plan estimates.

10m. When fully staffed, how many full-time equivalent (FTE) jobs do you expect to create or retain as a result of this project?

18

10n. Staffing Table

Job Title	FTE %	Date of Hire
Project Director	100	10/26/2009
Mapping Technologist 1	100	12/24/2009
Mapping Technologist 1	100	08/04/2011
Information Technology Specialist 2 - GIS	100	05/25/2010
Information Technology Specialist 2 - Business Analyst	100	02/22/2010
Information Technology Specialist 2 - Infrastructure	8	03/04/2010
Information Technology Specialist 2 - Applications Programming	40	03/04/2010
Mapping Technician 3	100	06/27/2011
Student Assistant	61	10/07/2010

Grants Administrator	44	10/13/2011
Senior GIS Technical Manager	100	01/17/2012
Information Technology Specialist 3	47	02/07/2008
Project Administrator - Digital Literacy Project (contracted)	40	03/12/2012
Project Assistant - Digital Literacy Project (contracted)	60	08/17/2011
Special Projects Coordinator / Instructor - Digital Literacy Project (contracted)	100	09/15/2010
Digital Literacy Project Website Developer (contracted)	25	10/01/2011
Outreach Coordinator - Capacity Building Project	83	04/17/2012

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Sub Contracts

10o. Subcontracts Table

Name of Subcontractor	Purpose of Subcontract	RFP Issued (Y/N)	Contract Executed (Y/N)	Start Date	End Date	Federal Funds	In-Kind Funds
Subcontract 1 - MVP Consulting Plus, Inc	GIS Analyst - To provide short-term assistance with GIS data processing and data validation in preparation for the 3/31/2010 initial data delivery and related follow-up activities.	Y	Y	02/17/2010	08/17/2010	49,887	0
Subcontract 2 - Troy Web Consulting, LLC	Application Programmer to develop a project tracking application and other web-based project resources.	Y	Y	01/14/2010	01/13/2011	49,500	0
Subcontract 3 - Computer Technology Services of Albany, Inc	Project Manager responsible for refinement and maintenance of the project plan; development of federal and state status reports; management of subcontracts and tracking of procurements, etc.	Y	Y	03/25/2010	09/25/2011	248,625	0
Subcontract 4 - Center for Technology in Government	Speed Test Web Site - Public outreach and sampling services. Deliverables will include provider, technology and speed data independently sampled.	N	N	07/01/2010	06/01/2014	183,873	0
Subcontract 6 - Center for Technology in Government - State University of New York at Albany	The purpose of this project is to produce the New York State Broadband Adoption Study. The project involves conducting a public survey and developing a report regarding factors affecting the adoption of broadband internet services in New York State.	N	N	11/23/2010	05/31/2011	150,000	0

Subcontract 7 - New York Library Association	The purpose of this subcontract is to conduct the Digital Literacy Project. The New York Library Association will conduct 48 workshops throughout New York State to train 755 librarians to perform Digital Literacy Training.	N	Y	08/01/2011	09/30/2014	791,687	406,057
Subcontract 8 - Center for Technology in Government - State University of New York at Albany NOT YET EXECUTED (as of 06/30/2012)	The purpose of this project is to redesign the Broadband Speed Test Web site and related outreach strategy to attract NYS residents to the NYS Broadband Map site as well as the redesigned NYS Speed Test site.	N	N			0	0
Subcontract 10 - Center for Technology in Government - State University of New York at Albany	The purpose of this project is to add outreach services and development of data collection tools for the collection of broadband service levels available at Community Anchor Institutions.	N	N	04/15/2011	09/30/2014	206,618	0
Subcontract 12 - TBD	These are plug figures. We have yet to release all of our subcontracts. This row exists so that the totals of all subcontracts equal the budgeted amounts for subcontracts.	N	N	10/01/2011	09/30/2014	341,239	299,812

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Funding

10p. How much Federal funding has been expended as of the end of the last quarter? \$1,715,103 10q. How much Remains? \$7,208,429

10r. How much matching funds have been expended as of the end of last quarter? \$804,951 10s. How much Remains? \$1,425,446

10t. Budget Worksheet

Mapping Budget Element	Federal Funds Granted	Proposed In-Kind	Total Budget	Federal Funds Expended	Matching Funds Expended	Total Funds Expended
Personal Salaries	\$3,833,658	\$950,052	\$4,783,710	\$688,781	\$195,524	\$884,305
Personnel Fringe Benefits	\$1,894,770	\$381,859	\$2,276,629	\$159,759	\$102,982	\$262,741
Travel	\$140,818	\$7,206	\$148,024	\$9,340	\$0	\$9,340
Equipment	\$551,242	\$184,211	\$735,453	\$33,876	\$0	\$33,876
Materials / Supplies	\$45,015	\$1,200	\$46,215	\$252	\$0	\$252
Subcontracts Total	\$2,058,029	\$705,869	\$2,763,898	\$823,095	\$506,445	\$1,329,540
Subcontract #1	\$49,887	\$0	\$49,887	\$24,012	\$0	\$24,012
Subcontract #2	\$49,500	\$0	\$49,500	\$41,195	\$0	\$41,195
Subcontract #3	\$248,625	\$0	\$248,625	\$231,200	\$0	\$231,200
Subcontract #4	\$183,873	\$0	\$183,873	\$158,393	\$0	\$158,393
Subcontract #5	\$1,526,144	\$705,869	\$2,232,013	\$368,295	\$506,445	\$874,740

Mapping Budget Element	Federal Funds Granted	Proposed In-Kind	Total Budget	Federal Funds Expended	Matching Funds Expended	Total Funds Expended
Construction	\$0	\$0	\$0	\$0	\$0	\$0
Other	\$400,000	\$0	\$400,000	\$0	\$0	\$0
Total Direct Costs	\$8,923,532	\$2,230,397	\$11,153,929	\$1,715,103	\$804,951	\$2,520,054
Total Indirect Costs	\$0	\$0	\$0	\$0	\$0	\$0
Total Costs	\$8,923,532	\$2,230,397	\$11,153,929	\$1,715,103	\$804,951	\$2,520,054
% Of Total	80	20	100	68	32	100

Hardware / Software

10u. Has the project team purchased the software / hardware described in the application? Yes No

10v. If yes, please list

Software and hardware purchases have been made in prior quarters (the last on June 20, 2011) but there were no new software and hardware purchases this reporting period.

10w. Please note any software / hardware that has yet to be purchased and explain why it has not been purchased

The most notable software and hardware purchases not yet made are for the Address File Development project. This project has a requirement for a public-facing application for the creation and maintenance of address point data by in-house staff and county 911 staff. Due to internal application development resource constraints and time constraints, the project team is currently evaluating commercial-off-the-shelf (COTS) solutions for this software application. Related potential software and hardware purchases will be identified once the COTS solution is determined. Additionally, there will be future software and data license renewal costs and the potential for miscellaneous "utility" software purchases to support day to day operations.

10x. Has the project team purchased or used any data sets? Yes No

10y. If yes, please list

There have been data purchases made in prior quarters but there were no new data purchases this reporting period.

10z. Are there any additional project milestones or information that has not been included? Yes No

10aa. If yes, please list

NYS will use the answer to question 10z to report on progress of additional projects funded under the amended award as measured against the Project Budget, Milestones and Dependent Activities, and Time-line document submitted in response to SAC 15 of our supplemental grant award.

Please see item 10aa in Q2 2012 Supplemental Answers Document.

10bb. Please describe any challenge or obstacle that you have encountered and detail the mitigation strategies the project team is employing

Our primary challenge remains the shortcomings associated with the census block level availability data and the lack of an effective method of identifying and editing overstated availability reported by large, multi-state providers. For the latter, we have identified verification methods for identifying overstated and/or incorrectly reported availability but they are time and labor intensive and impractical for addressing the problem statewide within the time frame of the SBI grant period. A number of NY's national providers have very large footprints within the state and it would take thousands of man hours to identify and correct all the errors that likely exist. Nevertheless, we are moving forward with these verification methods (described in answers to 10e & 10f above) with a focus on areas that border our currently known unserved areas within national provider service territories. Our goal is the expansion of those polygons to represent a more accurate picture of these critical areas. We are also in the process of purchasing data sets from GeoTel Communications that contains a rich collection of metro and long haul fiber routes. This fiber is almost exclusively used to serve commercial customers, with service order windows well outside of 7-10 business days. While this availability does not meet the SBI availability specification, it will be extremely valuable in support of the development of NY's overall broadband strategy, current economic development efforts and the evaluation of NYS Broadband Grant applications.

NY is also proceeding with our Address File project which will provide accurate structure level data to assist with identifying errors in the provider reported data and hopefully make possible address level availability mapping and statistical analysis in the future.

10cc. Please provide any other information that you think would be useful to NTIA as it assesses your Broadband Mapping Project

The total federal amount of ARRA funds received through drawdowns did not change from the previous quarter due to coding errors within a new electronic statewide financial system deployed at the beginning of Q2 2012. The coding errors caused the total expenditures "earmarked" for federal ARRA reimbursement to be reported as zero. The error has been identified and corrected. The Q2 2012 expenditures that were not reimbursed will be accounted for in Q3 2012 drawdowns.

11. Broadband Planning

11a. Please describe progress made against all goals, objectives, and milestones detailed in the approved Project Plan. Be sure to include a description of each major activity / milestone that you plan to complete and your current status

As reported in the Q3 2011 PPR, all remaining planning activities were reassigned to the Broadband Mapping and Broadband Capacity Building projects. The progress for those activities was reported on through our status updates for Broadband Mapping and Broadband Capacity Building elsewhere within this PPR.

11b. Please describe any challenge or obstacle that you have encountered and detail the mitigation strategies the project team is employing

As reported in the Q3 2011 PPR, all remaining planning activities were reassigned to the Broadband Mapping and Broadband Capacity Building projects. The respective challenges associated with those activities were reported on through our status updates for Broadband Mapping and Broadband Capacity Building elsewhere within this PPR.

11c. Does the Project Team anticipate any changes to the project plan for Broadband Planning? Yes No

11d. If yes, please describe these anticipated changes. Please note that NTIA will need to approve changes to the Project Plan before they can be implemented

Funding

11e. How much Federal funding has been expended as of the end of the last quarter? \$0

11f. How much Remains? \$0

11g. How much matching funds have been expended as of the end of last quarter? \$0

11h. How much Remains? \$0

11i. Planning Worksheet

Personal Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Personnel Fringe Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Equipment	\$0	\$0	\$0	\$0	\$0	\$0
Materials / Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Subcontracts Total	\$0	\$0	\$0	\$0	\$0	\$0
Subcontract #1	\$0	\$0	\$0	\$0	\$0	\$0
Subcontract #2	\$0	\$0	\$0	\$0	\$0	\$0
Subcontract #3	\$0	\$0	\$0	\$0	\$0	\$0
Subcontract #4	\$0	\$0	\$0	\$0	\$0	\$0
Subcontract #5	\$0	\$0	\$0	\$0	\$0	\$0
Construction	\$0	\$0	\$0	\$0	\$0	\$0

11i. Planning Worksheet

Other	\$0	\$0	\$0	\$0	\$0	\$0
Total Direct Costs	\$0	\$0	\$0	\$0	\$0	\$0
Total Indirect Costs	\$0	\$0	\$0	\$0	\$0	\$0
Total Costs	\$0	\$0	\$0	\$0	\$0	\$0
% Of Total	0	0	0	0	0	0

Additional Planning Information

11j. Are there any additional project milestones or information that has not been included?

No.

11k. Please describe any challenge or obstacle that you have encountered and detail the mitigation strategies the Project Team is employing

As reported in the Q3 2011 PPR, all remaining planning activities were reassigned to the Broadband Mapping and Broadband Capacity Building projects. The respective challenges associated with those activities were reported on through our status updates for Broadband Mapping and Broadband Capacity Building elsewhere within this PPR.

11l. Please provide any other information that you think would be useful to NTIA as it assesses your Broadband Mapping Project

All pertinent status information has been provided elsewhere in this PPR.

12. Certification: I certify to the best of my knowledge and belief that this report is correct and complete for performance of activities for the purpose set forth in the award documents.

12a. Typed or Printed Name and Title of Authorized Certifying Official

Michael Heath

12c. Telephone
(area code, number, and extension)

12d. Email Address

mheath@dhses.ny.gov

12b. Signature of Authorized Certifying Official

Submitted Electronically

12e. Date Report Submitted
(Month, Day, Year)

07-30-2012