

U.S. DEPARTMENT OF COMMERCE

Performance Progress Report

2. Award Or Grant Number

36-50-M09010

4. Report Date (MM/DD/YYYY)

12-28-2011

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,

8. Final Report?

Yes

No

9. Report Frequency

Quarterly

Semi Annual

Annual

Final

5. City, State, Zip Code

Albany, NY 12242

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:

12-31-2011

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

On October 1, the New York State Broadband Team made its fourth delivery of provider data to the NTIA. This delivery included data from 100% of known facilities-based (wireline) end user providers and all significant wireless service providers in NYS. Nevertheless, there continue to be challenges, most involving resellers and small fixed wireless companies. Four companies that had not participated in the past indicated they would but failed to follow through. Eight companies were non-responsive. Three declined to participate.

Since October 1, we have successfully garnered participation from one of the previously non-responsive fixed wireless companies. Additionally we have discovered 3 new fixed wireless providers- all of whom have agreed to participate. We fully intend to pursue and encourage a submission from those providers who had previously agreed, but did not submit, and will prioritize contact with remaining providers depending on their potential for participation.

For more details about challenging providers, please refer to the Q4 Supplemental Answers Document.

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

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. 6950 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

"Unserviced" locations and public error reporting: The New York State Broadband Map will be updated in Q1, 2012 with enhanced functionality so users may report areas that are "Unserviced" by wireline or wireless broadband. These locations will be shown, along with speed test locations, as Public Feedback layers on the New York State Broadband map. Users will also be able to easily report on their perceived accuracy of the availability results displayed as they interact with the map. Whereas reports were previously only sent via email, with this new functionality, the public will be able to verify or contradict data shown by interacting through an interface on the website. The data generated from these interactions will directly enhance our data verification efforts. – Implementation Date: New State Broadband Map functionality to be added in Q1 2012 (in testing phase now); public validation to begin immediately after

functionality is in the production environment.

Use of aggregated 477 data: Compare aggregated 477 data to availability data reported by providers to NYS Broadband Team; look for anomalies in the data (provider reported in tract, business/residential service, speeds reported above/below 3 mbps); contact providers to reconcile differences and make changes to the availability data where necessary. – Implementation Date: Data obtained from FCC on October 24, 2011. Work began in Q4 2011 (understanding the FCC data and developing verification methods). These new data and methods will be used to verify Round 5 data collected in Q1 2012.

For details about additional planned verification activities, please refer to the Q4 Supplemental Answers Document.

10g. Have you initiated verification activities? Yes No

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

The New York State Broadband Team used many automated and non-automated methods to verify the data received from providers:

- Data transfer model business rules: Adhere to rules – Status: Active and successful
- NTIA supplied Python scripts: Run scripts, correct errors, re-run scripts – Status: Active and successful
- ESRI spatial validation tools: Use 'Check Geometry' and 'Fix Geometry' tools – Status: Active and successful
- Provider Website Research: Validate provider reported data by checking their websites – Status: Active and successful
- Crowd-sourced data: Use of NYS and FCC speed test data – Status: Active and successful
- Publicly available data: Use newly identified data sources for verification – Status: Active and successful
- Duplicate records check: Check for duplicate records in geodatabase – Status: Active and successful
- Provider feedback verification: Send maps to providers to verify availability changes – Status: Active and successful
- Verizon NY data scrubbing: Correct verified errors in Verizon wire-line reported availability – Status: Active and successful
- Census block area check: Check the area designation of all census blocks loaded in the geodatabase to verify correct designation of $\leq 2\text{mi}^2$ and $>2\text{mi}^2$ – Status: Active and successful
- State boundary clip: Clipping of all data to the NYS boundary file – Status: Active and successful

For more details concerning these verification activities, please refer to the Q4 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 10.f. for details regarding additional planned verification activities.

Staffing

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

10.81

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

Lack of full staffing negatively impacted many aspects of the overall NYS SBI project, but most notably the Broadband Capacity Building project. The main thrust of that project is to fund two new employees to staff the NYS Broadband Program Office. The Broadband Program Office supports the NYS Broadband Development and Deployment Council (Broadband Council), as well as the NYS Universal Broadband Initiative. For the past year, the office has been resourced via the part-time efforts of the Program Director and an executive assistant. Their combined part-time effort totals approximately $\frac{1}{2}$ to $\frac{3}{4}$ of one FTE. The Program Director has been seeking waivers to New York State's hiring freeze to staff the office per the project plan. After a full year of effort, the waivers were finally granted in January of 2012. The inability to staff the office during all of 2011 limited the progress made toward many planned project milestones. It is expected that the project will be fully staffed in Q1 2012.

The Technical Assistance/Digital Literacy vendor was unable to staff or begin any work on the project until October 2011. That was due to a lengthy contracting process. Once the contract was in place, the New York Library Association was able to staff that project up very quickly and significant progress was made this quarter. It is expected that the project will be fully staffed in Q1 2012.

Please see item 10l in Q4 2011 Supplemental Answers Document for more details.

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 - Applications Programming	61	03/04/2010
Mapping Technician 3	100	06/27/2011
Student Assistant	79	10/07/2010
Project Manager (contracted)	55	04/05/2010
Project Administrator (contracted)	40	03/22/2004
Project Assistant (contracted)	60	08/17/2011
Grants Administrator	36	10/13/2011
Special Projects Coordinator / Instructor (contracted)	100	09/15/2010
Digital Literacy Curriculum Developer (contracted)	25	10/01/2011
Digital Literacy Project Website Developer (contracted)	25	10/01/2011

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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 - The Center for Technology in Government. See comment in 10cc for reason why there was no RFP.	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	The purpose of this project is to continue to host the Broadband Speed Test Web site and to add data collection tools and outreach services to collect New York State Community Anchor Institution information.	N	N	10/01/2011	09/30/2014	156,901	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 from Community Anchor Institution information.	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	184,338	299,812
						Add Row	Remove Row

Funding

10p. How much Federal funding has been expended as of the end of the last quarter? \$1,219,616 10q. How much Remains? \$7,703,916

10r. How much matching funds have been expended as of the end of last quarter? \$767,036 10s. How much Remains? \$1,463,361

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	\$578,151	\$188,206	\$766,357
Personnel Fringe Benefits	\$1,894,770	\$381,859	\$2,276,629	\$159,760	\$99,210	\$258,970
Travel	\$140,818	\$7,206	\$148,024	\$8,877	\$0	\$8,877
Equipment	\$551,242	\$184,211	\$735,453	\$24,482	\$476,042	\$500,524
Materials / Supplies	\$45,015	\$1,200	\$46,215	\$152	\$0	\$152
Subcontracts Total	\$2,058,029	\$705,869	\$2,763,898	\$448,194	\$3,578	\$451,772
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	\$223,040	\$0	\$223,040
Subcontract #4	\$183,873	\$0	\$183,873	\$135,616	\$0	\$135,616
Subcontract #5	\$1,526,144	\$705,869	\$2,232,013	\$24,331	\$3,578	\$27,909
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	\$1,219,616	\$767,036	\$1,986,652
Total Indirect Costs	\$0	\$0	\$0	\$0	\$0	\$0
Total Costs	\$8,923,532	\$2,230,397	\$11,153,929	\$1,219,616	\$767,036	\$1,986,652
% Of Total	80	20	100	61	39	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. There will be a public-facing application developed for the creation and maintenance of address point data. Requirements are currently being developed for that application. Hardware and software will be specified after those requirements are complete. 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 Timeline document submitted in response to SAC 15 of our supplemental grant award.

Please see item 10aa in Q4 2011 Supplemental Answers Document.

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

During this reporting period, the only significant obstacles encountered concern internal staff hiring and contracting for vendor services. The impacts were described in section 10l above. The mitigation strategy is two-fold. For the hiring of in-house staff, we provided the NYS control agencies with detailed justifications including the fact that the position would be 100% federally funded. We also developed a "Plan B", which was to contract for the services. Fortunately, the last of our internal hiring requests was approved in December 2011. Contracted services were/are required for the Technical Assistance/Digital Literacy project and the Address File Development project. For the Digital Literacy train-the-trainer project, even though the New York State Library Association submitted the grant proposal to our office, developed the State's first and only digital literacy standard, and routinely administers training programs for librarians, we were informed by NYS control agencies that we needed to competitively bid the project or justify a single source procurement. We were successful with our single source justification and a contract was executed on October 5, 2011. We will be required to navigate a lengthy Request for Proposal (RFP) procurement process to hire a vendor to assist with the Address File Development project. We are in the process of executing a small procurement with a vendor who specializes in assisting clients develop RFPs for technology related projects. This expert assistance should significantly expedite the overall vendor selection and contract approval process.

10cc. 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.

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 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 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
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11i. Planning Worksheet						
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
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 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)

02-17-2012