



# Homeland Security and Emergency Services

**Fiscal Year 2017**

**Urban Area Security Initiative**

**Nonprofit Security Grant Program**

**Request for Applications**

**Application Due Date: June 12, 2017 by 11:59 pm**

Technical Assistance for E-grants will not be available after 5:00 pm on June 12, 2017

**NYS Division of Homeland Security and Emergency Services  
Urban Area Security Initiative Nonprofit Security Grant Program**

**Request for Applications**

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# NYS Division of Homeland Security and Emergency Services Urban Area Security Initiative Nonprofit Security Grant program

## Request for Applications

### I. Introduction

The purpose of this Request for Applications (RFA) is to solicit applications for federal grant funding made available from the US Department of Homeland Security's (DHS) Fiscal Year 2017 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program (NSGP). This program provides funding support for hardening and other physical security enhancements to nonprofit organizations that are at high risk of terrorist attack and located within the specific UASI-eligible Urban Area. The program seeks to integrate preparedness activities of nonprofit organizations that are at a high risk of a terrorist attack with broader state and local preparedness efforts. The NSGP also serves to promote coordination and collaboration in emergency preparedness activities among public and private community representatives, as well as State and local government agencies. Each nonprofit organization may submit an application for up to \$75,000 in grant funds.

### II. Eligibility

To be considered for funding, eligible organizations must:

- Be described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code
- Be located within the New York City urban area which includes the five boroughs and the Counties of Westchester, Nassau and Suffolk
- Be at **high risk of a terrorist attack due to their ideology, beliefs, or mission**
- **Be prequalified, through the New York State Grants Gateway prior to application submission** <https://grantsgateway.ny.gov>
- Provide a DUNS number with their application. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711
- Provide a copy of their organization's mission statement along with their application

- Provide a copy of their threat and/or vulnerability assessment, if requesting equipment at multiple locations provide assessments for each location
- Be registered, have recently applied for registration or be exempt from registering with the NYS Attorney General's Office, Charities Bureau

Criteria for determining eligible applicants who are at high risk of terrorist attack include, but are not limited to:

- Identification and substantiation (e.g. police reports or insurance claims) of prior threats or attacks against the nonprofit organization or closely related organizations (within or outside the U.S.) by a terrorist organization, network, or cell
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of terrorism
- Role of the applicant nonprofit organization in responding to or recovering from terrorist attacks
- Findings from previously conducted risk assessments including threat and/or vulnerability assessments

**Not all organizations are guaranteed funding. Allocation decisions will be made based on risk and how well the applicant addresses program requirements through their Investment Justification submissions. Due to the competitive nature of this program, funding preference will be given to nonprofit organizations that have not received prior years funding.**

### III. Program Objectives

The FY 2017 NSGP plays an important role in the implementation of the National Preparedness System (NPS) by supporting the development and sustainment of core capabilities. Core Capabilities are essential for the execution of each of the five mission areas outlined in the *National Preparedness Goal* (the Goal). Building and sustaining core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The FY 2017 NSGP's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

The Nonprofit Homeland Security Grant Program objective is to support efforts that:

- Build and sustain core capabilities

- Strengthen governance integration
- Encourage a whole community approach to security and emergency management

For additional details on priorities for this program, please refer to Attachment D - FY 2017 NSGP Program Specific Priorities.

#### **IV. Additional Information**

##### **Active Shooter Preparedness**

DHS aims to enhance national preparedness through a whole community approach by providing the necessary products, tools, and resources to help all stakeholders prepare for and respond to an active shooter incident. To that end, DHS has developed a comprehensive “Active Shooter Preparedness” website, which includes a variety of informational resources. The website address is: <https://www.dhs.gov/active-shooterpreparedness>.

In addition, within the Homeland Security Information Network (HSIN), the Joint DHS and FBI Countering Violent Extremism (CVE) and Active Shooter Web Portal provides a restricted-access forum to share Unclassified For Official Use Only (FOUO), Sensitive but Unclassified (SBU), and Law Enforcement Sensitive (LES) Information. The portal provides users and training practitioners with accurate, appropriate, and relevant CVE and Active Shooter training development resources, subject matter expert information, and outreach initiatives. It also has forums to provide feedback, products useful to others, and allows participants to ask questions concerning CVE or the Active Shooter Program. Persons with a job-related duty, public service interest, or who support a CVE and/or Active Shooter program can request access into this Portal. Additional information can be found on the DHS website at: <https://www.dhs.gov/cveas-portal#>.

Nonprofit organizations are encouraged to review the referenced active shooter guidance, evaluate their preparedness needs, and consider applying for NSGP funding to address any needs identified in this area. To address training needs associated with active shooter incidents, DHS/FEMA’s Emergency Management Institute provides a free, web-based training course entitled IS-907: Active Shooter: What You Can Do, available at the following website: <https://training.fema.gov/is/courseoverview.aspx?code=IS-907>.

## V. How to Apply

### A. Issuing Agency

This RFA is issued by the NYS Division of Homeland Security and Emergency Services (DHSES). DHSES is responsible for the requirements specified herein and for the evaluation of all applications.

### B. Filing an Application

Grant applications must be submitted via the automated DHSES E-Grants System. The system allows an agency to complete an application electronically and submit it over the Internet using a secure portal. If, upon reading this RFA, you are interested in completing a grant application and you have not previously been registered to use the DHSES E-Grants system, your agency will need to register and be assigned a user name and password. The Registration Request Form can be found at the following Internet address: <http://www.dhses.ny.gov/grants/forms-egrants.cfm> Send the completed registration form to: [grant.info@dhses.ny.gov](mailto:grant.info@dhses.ny.gov)

A detailed tutorial on how to use the E-Grants system can also be found at: <http://www.dhses.ny.gov/grants/nonprofit/uasi-nsgp.cfm> . It will guide you in a step-by-step process through the E-Grants application submission.

### C. Prequalification

Prior to submitting an application in response to this RFA, all nonprofit organizations are **required** to prequalify with the New York State Grants Gateway at <http://grantsreform.ny.gov/Grantees>.

Prequalification is a statewide process designed to facilitate prompt contracting. Nonprofit organizations will be asked to submit commonly requested documents, and answer frequently asked questions, once. Organizations will submit their responses online in the Grants Gateway, and all information will be stored in a virtual, secured vault. In addition, an electronic “vault” will permit critical documents to be submitted and stored electronically to be used by all State agencies reviewing grants. For more information on Prequalification see Attachment E.

### D. NSGP Investment Justification

As part of the FY 2017 NSGP application process, applicants must develop a formal Investment Justification (IJ) that addresses each Investment being proposed for funding. The IJ must address an identified risk, including threat and vulnerability, and build or sustain a core capability identified in the Goal. The IJ must demonstrate the ability to provide enhancements **to an existing facility** consistent with the purpose of the program and guidance provided by DHS/FEMA. **Security enhancements must be for the location(s) that the nonprofit occupies at the time of application.** Applicants must ensure that

the IJ is consistent with all applicable requirements outlined in this application kit. Applicants may only submit one IJ on behalf of their nonprofit organization in order to be considered for funding.

DHS/FEMA has developed guidelines that establish the required IJ content and helps ensure that submissions are organized in a consistent manner while addressing key data requirements. **Failure to address these data elements in the prescribed format, including the strict formatting guidelines, could potentially result in the rejection of the Investment Justification from review consideration.**

Applicants must use the DHS/FEMA-provided Excel-based NSGP IJ template for their FY 2017 NSGP application submission. If using Excel 2007, applicants are required to save the final version of the IJ in the Excel 97-2003 format before submitting; Excel 2007 or PDF formats cannot be accepted.

The NSGP IJ template can be found at:

<http://www.dhSES.ny.gov/grants/nonprofit/uasi-nsgp.cfm>

For detailed instructions on completing the IJ Template see Attachment B of this RFA.

#### **E. Required Application Submissions**

To be considered for funding, eligible nonprofit organization must submit an application using the State's Electronic Grants (E-Grants) System (see Attachment A – E-Grants Instructions). A complete application includes the following:

- Investment Justification Template (Submitted as an attachment in E-Grants)
- Contact Information
- Proposed Project Workplan Information
- Budget Request Information
- Certification to Accept the Assurances
- Status History report from Grants Gateway website showing prequalification status (Submitted as an attachment in E-Grants)
- **Signed and notarized** Vendor Responsibility Questionnaire (Submitted as an Attachment in E-Grants)
- Mission Statement (Submitted as an attachment in E-Grants)
- Threat and/or vulnerability assessment, if installing equipment at more than one location, assessments must be submitted for each location (Submitted as an attachment in E-Grants)

## **F. Authorized Program Expenditures**

### **Equipment**

Allowable costs are focused on target hardening activities. Funding can be used for the acquisition and installation of security equipment on real property/existing facilities (including buildings and improvements) owned or leased by the nonprofit organization, specifically in prevention of and/or protection against the risk of a terrorist attack. This equipment is limited to two categories of items on the Authorized Equipment List (AEL):

- Physical Security Enhancement Equipment (Category 14)
- Inspection and Screening Systems (Category 15)

The two allowable prevention and protection categories and equipment standards for the FY 2017 NSGP are listed on the Authorized Equipment List (AEL) which can be found on DHS/FEMA's website at:

<http://www.fema.gov/authorized-equipment-list>

Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS adopted standards to be eligible for purchase using these funds, including the Americans with Disabilities Act. In addition, agencies will be responsible for maintaining all necessary certifications and licenses for the requested equipment. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for child and adults with disabilities are allowable.

### **Construction and Renovation**

NSGP funding may not be used for construction and renovation projects without prior written approval from DHS/FEMA. All recipients of NSGP program funds must request and receive approval from DHS/FEMA before any NSGP Program funds are used for any construction or renovation. Additionally, sub-recipients are required to submit a SF-424C Budget and budget detail citing the project costs. The total cost of any construction or renovation paid for using NSGP Program funds may not exceed the greater amount of \$1,000,000 or 15% of the NSGP award. Recipients and sub-recipients are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which the recipient believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. § 10.8, must also be identified to the Headquarters Program Analyst within six months of the award and completed EHP review materials must be submitted no later than 12 months before the end of the period of performance.



NSGP Program recipients using funds for construction projects must comply with the Davis-Bacon Act (40 U.S.C. § 3141 et seq.). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the Davis-Bacon Act, including Department of Labor (DOL) wage determinations, is available from the following website: <http://www.dol.gov/whd/govcontracts/dbra.htm>

## **Training**

Nonprofit organization security personnel may only use NSGP funds to attend security-related training courses and programs within the United States. Allowable training-related costs under the NSGP are limited to attendance fees for training, and related expenses, such as materials, supplies, and/or equipment. **Overtime, backfill, and/or travel expenses are not allowable costs.** Allowable training topics are limited to the protection of critical infrastructure key resources, including physical and cyber security, target hardening, and terrorism awareness/employee preparedness. Training conducted using NSGP funds must address a specific threat and/or vulnerability, as identified in the nonprofit's Investment Justification. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills.

**Proposed attendance at training courses and all associated costs leveraging the NSGP must be included in the nonprofit organization's Investment Justification. Any training attendance, to include curricula, requires prior approval by DHSES.**

## **Management and Administration (M&A)**

M&A Activities are those costs defined as directly relating to the management and administration of NSGP funds, such as financial management and monitoring. Sub-recipients may use up to five percent (5%) of the FY 2017 NSGP funds awarded to them by the State to be used solely for Management and Administration purposes associated with the award. M&A activities are those defined as directly relating to the management and administration of NSGP funds, such as financial management and monitoring. Management and administrative expenses must be based on actual expenses or known contractual costs. Requests that are simple percentages of the award, without supporting justification, will not be allowed or considered for reimbursement. M&A costs are not operational costs, they are the necessary costs incurred in direct support of the grant or as a consequence of the grant and should be allocated across the entire lifecycle of the grant. Examples include preparing and submitting required programmatic and financial reports, establishing and/or maintaining equipment inventory, documenting operational and equipment expenditures for financial accounting purposes; and responding to official informational requests from state and federal oversight authorities.

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants responsible for activities relating to the management and administration of NSGP funds
- Meeting-related expenses directly related to M&A of NSGP funds

### **Maintenance and Sustainment**

Maintenance and Sustainment related costs, such as maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in DHS/FEMA Policy FP 205-402-125-1 (<http://www.fema.gov/medialibrary/assets/documents/32474>).

### **Unallowable Costs**

The following projects and costs are considered **ineligible** for award considerations:

- Hiring of Public Safety Personnel
- General-use Expenditures
- Overtime and Backfill
- Initiatives that do not address the implementation of programs/initiatives to build prevention and protection-focused capabilities directed at identified facilities and/or the surrounding communities
- The development of risk/vulnerability assessment models
- Initiatives that fund risk or vulnerability security assessments or the development of the Investment Justification
- Initiatives in which Federal agencies are the beneficiary or that enhance Federal property
- Initiatives which study technology development
- Proof-of-concept initiatives
- Initiatives that duplicate capabilities being provided by the Federal government
- Organizational operating expenses
- Reimbursement of pre-award security expenses

Any other activities unrelated to the implementation of the FY 2017 NSGP, items not in accordance with the AEL, or previously identified as ineligible within this guidance and are not allowable costs.

## V. Application Review

The following outlines the review process that will be followed for this solicitation.

### A. NYS Division of Homeland Security and Emergency Services (DHSES) Review:

DHSES staff will conduct an initial review of each application submitted to determine if applications are complete and received by the deadline by an eligible, pre-qualified nonprofit organization. Applications that receive a “No” on any of the items below will be disqualified without further review and consideration for DHS review.

1. Was the application submitted by **11:59 p.m. on June 12, 2017**
2. Is the application complete?
3. Is the applicant prequalified in the Grants Gateway?
4. Does the applicant organization currently have IRS 501(c)(3) tax-exempt status?
5. Is the proposed project site or facility located within the approved Urban Area of the New York City Metropolitan Area?
6. Obtained and provided Dun and Brad Street Number?
7. Is a copy of the Investment Justification attached to the application in the required format?
8. Is a copy of the mission statement attached to the application?
9. Is a copy of a recent threat and/or vulnerability assessment attached to the application?
10. Is the applicant a responsible vendor as evidenced by the **completed and signed and notarized vendor responsibility questionnaire?** (Consistent with provisions of the State Comptrollers’ Bulletin G-221).

### B. State Administrative Agency and Urban Area Workgroup Review:

A review will be conducted by the NYC Urban Area Working Group (UAWG) in coordination with DHSES as the State Administrative Agency (SAA). This portion of the review will focus on:

- Need – The relative need for the nonprofit organization compared to the other applicants
- Impact – The potential impact of the nonprofit organization in achieving maximum prevention and/or protection results at minimal cost

This review will produce a score of up to 40 points total (see Attachment C for more detailed information) (**\*NOTE: Due to the competitive nature of this program, preference will be given to nonprofit organizations that have not received prior years’ funding. Applicants that have not received NSGP funding in the past will receive one bonus point on their total State application score.**)

**NOTE: Upon award, recipients may only fund Investments that were included within the FY 2017 Investment Justification that were submitted to DHS/FEMA and evaluated through the Federal review process.**

## **VI. Timeline**

The NYS Division of Homeland Security and Emergency Services must receive completed grant applications, via the electronic grants management system (E-Grants) by **11:59 p.m. on June 12, 2017**. Supporting documentation must be received as an attachment to the application. Applications and supporting documentation received after the due date and time will not be considered. Applications will be forwarded to DHS for review and award.

## **VII. Appropriation and Availability of Grant Funds**

Award of funds is subject to State Budget appropriation authority and the actual award of funds to the State of New York from U.S. Department of Homeland Security. Each eligible nonprofit organization may submit an application for up to \$75,000 in grant funds.

## **VIII. Award of Funds**

Final award determinations will be made by U.S. DHS/FEMA with funds being awarded to DHSES for administration to the award recipients. DHSES will issue award letters to successful applicants and will enter into reimbursement grant contracts with awardees. Funds will be awarded for a 36-month period and will be determined based on the federal award period (anticipated period of 9/1/17-8/31/2020).

**Environmental and Historic Preservation Compliance:** As a Federal Agency, DHS/FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grant-funded projects, comply with Federal EHP regulations, laws and Executive Orders, as applicable. Sub-recipients proposing projects that have the potential to impact the environment, including but not limited to the modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the DHS/FEMA EHP review process. Much of the equipment purchased with NSGP funds require Environmental and Historic Preservation (EHP) review. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that DHS/FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, DHS/FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to

carry out the proposed project. DHS/FEMA will not fund projects that are initiated without the required EHP review completed and approved.

**Sub-recipients must adhere to all applicable guidance, laws and regulations, including administrative requirements found at 2 CFR Part 200.** The new Super Circular located at 2 C.F.R. Part 200 provides one set of Uniform Administrative Requirements, Cost Principles, and audit requirements for federal awards and sub-awards to all non-Federal entities. “Non-Federal entities” are states, local governments, Indian Tribes, institutions of higher education, or nonprofit organizations that carry out federal awards which can be found at <https://www.fema.gov/media-library/assets/documents/101236>

**Vendor Responsibility:** Sub-recipients/Contractors shall at all times during the Contract term remain responsible. The Sub-recipients/Contractor agrees, if requested by the Commissioner of DHSES, or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

**a) Suspension of Work for Non-Responsibility:**

The Commissioner of DHSES or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under the Contract, at any time, when he or she discovers information that calls into question the responsibility of the Sub-recipient. In the event of such suspension, the Sub-recipient Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of DHSES or his or her designee issues a written notice authorizing the resumption of performance under the Contract.

**b) Termination for Non-Responsibility:**

Upon written notice to the Sub-recipient/Contractor, and a reasonable opportunity to be heard by appropriate DHSES officials or staff, the Contract may be terminated by the Commissioner of DHSES or his or her designee at the Contractor’s expense where the Sub-recipient/Contractor is determined by the Commissioner of DHSES or his or her designee to be non-responsible. In such event, the Commissioner of DHSES or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue legal or equitable remedies for breach.

### **Minority and Women Owned Business Enterprise**

Pursuant to New York State Executive Law Article 15-A, New York State Division of Homeland Security and Emergency Services recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority

group members and women in the performance of New York State Division of Homeland Security and Emergency Services contracts.

Consistent with 2 CFR §200.321, non-Federal contracting entities must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.

Affirmative steps must include:

- (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
- (2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
- (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;
- (4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;
- (5) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and
- (6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section.

For purposes of this solicitation, applicants and sub-recipients are hereby notified the State of New York has set an overall goal of **30% for MWBE participation** or more, **15% for Minority-Owned Business Enterprises** (“MBE”) participation and **15% for Women-Owned Business Enterprises** (“WBE”) participation, based on the current availability of qualified MBEs and WBEs for your project needs.

### **Use of Service-Disabled Veteran-owned Business (SDVOB) Enterprises in Contract Performance**

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economics of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at [http://ogs.ny.gov/Core/docs/CertifiedNYS\\_SDVOB.pdf](http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf)

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive Law to use responsible

and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State Law. Utilizing SDVOBs in State contracts will help create more private sector jobs, rebuild New York State's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its SDVOB partners. SDVOBs will promote the contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects bidders, proposers to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayers.

For purposes of this solicitation, applicants and sub-recipients are hereby notified the State of New York has set an overall goal of 6% for SDVOB participation or more.

Contractor will report on actual participation by each SDVOB during the term of the contract to the contracting agency/authority according to policies and procedures set by the contracting agency/authority.

**IRAN Divestment Act:** As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. Under the Act, the Commissioner of the Office of General Services (OGS) will be developing a list (prohibited entities list) of "persons" who are engaged in "investment activities in Iran" (both are defined terms in the law). Pursuant to SFL § 165-a(3)(b), the initial list is expected to be issued no later than 120 days after the Act's effective date, at which time it will be posted on the OGS website.

By submitting a proposal in response to this RFA, or by assuming the responsibility of a Contract awarded hereunder, the Applicant (or any assignee) certifies that once the prohibited entities list is posted on the OGS website, it will not utilize on such Contract any subcontractor that is identified on the prohibited entities list.

Additionally, Applicants are advised that once the list is posted on the OGS website, any Applicant seeking to renew or extend a Contract or assume the responsibility of a Contract awarded in response to the solicitation, must certify at the time the Contract is renewed, extended or assigned that it is not included on the prohibited entities list.

During the term of the Contract, should DHSES receive information that a person is in violation of the above-referenced certification, DHSES will offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased

its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then DHSES shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

DHSES reserves the right to reject any bid or request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award.

## **IX. Administration of Grant Contracts**

### **A. Reserved Rights**

DHSES Reserves the Right To:

- 1) Reject any or all applications received in response to this RFA.
- 2) Withdraw this RFA at any time, at the agency's sole discretion;
- 3) Make an award under the RFA in whole or in part.
- 4) Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.
- 5) Seek clarifications and non-material revisions of proposals.
- 6) Amend any of the scheduled dates.
- 7) Eliminate any mandatory, non-material specifications that cannot be complied with by all the applicants.
- 8) Not fund an application that fails to submit a clear and concise work plan or budget.
- 9) Use application information obtained through site visits, management interviews and the State's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFA.
- 10) Not to proceed with an award or withdraw any tentative awards made as a result of this RFA.
- 11) Award more than one contract resulting from this RFA.
- 12) Waive any non-material requirements or irregularities in applications received after prior notification to the applicant.
- 13) Adjust or correct cost figures with the concurrence of the applicant if errors exist and can be documented to the satisfaction of DHSES and the State Comptroller.
- 14) Negotiate with applicants responding to this RFA within the requirements to serve the best interests of the State.
- 15) If DHSES is unsuccessful in negotiating a contract with the selected applicant within an acceptable time frame, DHSES may begin contract negotiations with the next qualified applicant(s) in order to serve and realize the best interests of the State.
- 16) Award grants based on the best interests of the State.



## B. Terms of the Contract

- 1) Updated and current System for Award Management (SAM) registration. Registration is available at: <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-registerwith-sam.html> Please ensure that your organizations name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used on the IJ.
- 2) Any resulting contract or agreement for more than \$50,000 resulting from this RFA will be effective only upon approval by the New York State Office of the Comptroller and the Office of the Attorney General. Any resulting contract awarded pursuant to this RFA for \$50,000 or less will be effective upon signature of both parties.
- 3) If your organization is not currently doing business with NYS, you will need to submit a Substitute W-9 form to obtain a NYS Vendor ID. The form is available on the Office of the State Comptroller website at [http://www.osc.state.ny.us/vendor\\_management/forms.htm](http://www.osc.state.ny.us/vendor_management/forms.htm)
- 4) Your organization is required to be prequalified in the Grants Gateway system (<https://grantsgateway.ny.gov/>)
- 5) Sub-recipients must review and agree to the standard terms and conditions included in DHSES grant contracts, including but not limited to Appendices A-1 and C, which are available for review on the DHSES website at <http://www.dhSES.ny.gov/grants/forms-egrants.cfm>
- 6) Contract Period – Grant contracts supported with FY 2017 funding are executed for a period of three years and are subject to the continued availability of the grant funding.
- 7) Contract Activities - All activities must have prior approval from DHSES and meet guidelines established by the State of New York and the Federal government.
- 8) Contract Changes - Contracts with Sub-recipient may be executed, terminated, renewed, increased, reduced, extended, amended, or renegotiated at the discretion of the Commissioner of DHSES, in light of a Sub-recipient's performance, changes in project conditions, or otherwise.
- 9) Records – Sub-recipients must keep books, ledgers, receipts, work records, consultant agreements and inventory records pertinent to the project; and in a manner consistent with DHSES contractual provisions and mandated guidelines.

- 10) Liability - Nothing in the contract between DHSES and the Sub-recipients shall impose liability on the State of New York or DHSES for injury incurred during the performance of approved activities or caused by use of equipment purchased with grant funds.
- 11) Payments - Payments to reimburse project expenses will be made pursuant to a schedule specified in a contract entered into between the State of New York and the grant award recipient.
- 12) Reports - A provider agency shall submit to the DHSES reports in a format and time schedule specified in the grant contract, which shall include a description of the program efforts undertaken during the report period and the current status of the project.
- 13) Review – The Sub-recipient’s performance in all areas mentioned above, in addition to the services contracted for, will be monitored by DHSES. Monitoring activities may take the form of site visits, record inspections, written and telephone communication, or other methods deemed necessary by DHSES.
- 14) Revocation of Funds - Funds awarded to an applicant who does not implement an approved project within one year of the award date may be revoked and reallocated to another applicant at the discretion of the Commissioner of DHSES.
- 15) Tax Law Section 5-a Certification – In accordance with section 5–a of the Tax Law, Sub-recipients will be required, prior to the approval of any contract awarded as a result of this RFA, to certify that it and its affiliates, subcontractors, and subcontractors’ affiliates have registered with the New York State Tax Department for the purpose of collection and remittance of sales and use taxes. In order to trigger this certification requirement, a Sub-recipient or its affiliates, subcontractor, or subcontractors’ affiliates must have made more than \$300,000 in sales of tangible personal property or taxable services to location within New York State and the contract must be valued in excess of \$15,000. Certification will take the form of a completed Tax Form ST-220 (1/05).
- 16) Vendor Responsibility – Sub-recipients/Contractors shall at all times during the Contract term remain responsible. Should the Sub-recipient/Contractor be found at any point to be non-responsible, DHSES reserves the right to suspend or terminate the award or Contract.

DHSES requires that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System, see the VendRep System Instructions available at: [http://www.osc.state.ny.us/vendrep/info\\_vrsystem.htm](http://www.osc.state.ny.us/vendrep/info_vrsystem.htm) or go directly

to the VendRep system online at <https://portal.osc.state.ny.us>. Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at [ITServiceDesk@osc.state.ny.us](mailto:ITServiceDesk@osc.state.ny.us). Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website [http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm) or may contact the Office of the State Comptroller's Help Desk for a copy of the paper form. Applicants will also be required to complete and submit a Vendor Responsibility Attestation prior to contracting.

- 17) NYS Charities Bureau Filing—Sub-recipients will be required to be current with their NYS Attorney General's Office, Charities Bureau filing. A nonprofit organization that reports it is exempt from registering with the NYS Charities Bureau will be required to sign a Certification to that effect before a grant award contract is finalized.
- 18) Sub-recipients will need to provide up-to-date documentation of New York State Workers' Compensation and Disability Benefits coverage or exemption before grant award contract is finalized.
- 19) Purchasing Procedures – Nonprofit organizations, institutions of higher education (as defined at 20 U.S.C. § 1001), and hospitals that were previously subject to the procurement standards set forth at 2 C.F.R. Part 215, are now subject to the procurement standards set forth at 2 C.F.R. §§ 200.318 – 200.326. These requirements differ from previous requirements and the impacted non-Federal entity should familiarize itself with these new standards.  
<https://www.fema.gov/media-library/assets/documents/101236>

In addition:

- i. If the Sub-recipient is eligible to purchase an item or service from a government contract or is able to purchase such item or service elsewhere at a lower than or equal price, then such purchase may be made immediately.
- ii. A Sub-recipient may purchase any single piece of equipment, single service or multiples of each that cost up to \$999 at its discretion.
- iii. Before purchasing any piece of equipment, service or multiples of each that have an aggregate cost between \$1,000 and \$4,999, a Sub-recipient must secure at least three telephone quotes and create a record for audit of such quotes.
- iv. Before purchasing any piece of equipment, service or multiples of each that have an aggregate cost of between \$5,000 and \$9,999, the Sub-recipient must secure at least three written

quotes on a vendor's stationery and maintain a record of the competitive procurement process for audit purposes.

- v. A Sub-recipient spending in aggregate of \$10,000 and above must use a competitive bidding process. Guidance may be obtained from DHSES. At a minimum, the competitive bidding process must incorporate the following: open, fair advertisement of the opportunity to provide services; equal provision of information to all interested parties; reasonable deadlines; sealed bids opened at one time before a committee who will certify the process; establishment of the methodology for evaluating bids before the bids are opens; and maintenance of a record of the competitive procurement process.

20) Standard Contract Provisions - Grant contracts executed as a result of this RFA process will be subject to the terms and conditions of Appendix A-1, as referenced above.

21) Compliance with Procurement Requirements - The applicant shall certify to DHSES that all applicable federal and contractual procurement procedures were followed and complied with for all procurements.

22) Satisfactory Progress - Satisfactory progress toward implementation includes, but is not limited to; executing contracts and submitting payment requests in a timely fashion, retaining consultants, completing plans, designs, reports, or other tasks identified in the workplan within the time allocated for their completion. DHSES may recapture awarded funds if, in DHSES' judgment, the services provided by the Contractor under the Contract are unsatisfactory or untimely or if progress is not being made on the implementation of a grant project.

# ATTACHMENT A

## E-Grants Instructions

Grant applications must be submitted to the NYS Division of Homeland Security and Emergency Services (DHSES) via the automated DHSES E-Grants System operated by DHSES. The system allows an agency to complete an application electronically and submit it over the Internet. If upon reading this RFA you are interested in completing a grant application, and you have not previously been registered to use the DHSES E-Grants system, your agency will need to register and be assigned a username and password. The Registration Request Form can be found at the following Internet address: <http://www.dhses.ny.gov/grants/forms-egrants.cfm> . Send the completed registration form to: [grant.info@dhses.ny.gov](mailto:grant.info@dhses.ny.gov)

Organizations should use their **legal name** in the E-Grants system as the Grantee under the "Participant" tab. This should match the name used on the Investment Justification form.

Instructions for use of the E-Grants system by a nonprofit organization can be found at <http://www.dhses.ny.gov/grants/nonprofit/uasi-nsqp.cfm>

Should you have difficulty in accessing or using the E-Grants system, please call 1-866-837-9133 for assistance.

# ATTACHMENT B

## NSGP Investment Justification and Scoring Criteria

Question	Scoring Criteria
<b>I. APPLICANT INFORMATION</b>	
<p><b>Identify the following:</b></p> <ul style="list-style-type: none"> <li>• Legal Name of the Organization</li> <li>• Physical Address of the Facility the City and/or County Name. Only on facility per Investment Justification. If multiple sites are included in this request, please provide all location addresses.</li> <li>• Year the Original Facility was Constructed</li> <li>• Organization Type (Short description of organization’s ideology, beliefs or mission)</li> <li>• Membership and community served</li> <li>• 501(c)(3) Number (If Applicable)</li> <li>• Current Dun and Bradstreet Number</li> <li>• FY 2017 UASI Urban Area in which the organization is located</li> <li>• NSGP Federal Funding Request (up to \$75,000)</li> <li>• NSGP Total Project Cost</li> <li>• Any Current Contract with DHS (not including previously awarded DHS funding) (Yes/No – if yes, please describe)</li> <li>• Investment Phase - New or Ongoing</li> </ul> <p><b>(1,500 character limit not including spaces)</b></p>	<p>The legal name of the organization should match what you have entered into the E-Grants System.</p> <p>This information will not be scored “Physical Address of the Facility to include the City and/or County Name” means the actual address at which the equipment will be installed. <b>If multiple locations are being requested, you must list all locations.</b></p>
<b>II. BACKGROUND</b>	
<p><b>Background:</b> Describe the nonprofit organization including:</p> <ul style="list-style-type: none"> <li>• Symbolic value of the site(s) as a highly recognized national or historical institution within the community that renders the site as a possible target of terrorism</li> <li>• Any previous or existing role in responding to or recovering from terrorist attacks</li> </ul> <p><b>(1,800 Character limit not including spaces)</b></p>	<p>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions. Out of 40 points, this section is worth 2 possible points. <b>If multiple locations are being requested you must address each location.</b></p>

Question	Scoring Criteria
<b>III. RISK</b>	
<p><b>Risk:</b> DHS defines risk as the product of three principal variables: <i>Threat</i>, <i>Vulnerability</i>, and <i>Consequences</i>. In the space below, describe findings from previously conducted risk assessments, including A) Threats, B) Vulnerabilities, and C) Potential Consequences of an attack.  <b>(2,200 character limit not including spaces)</b></p>	<p>The information provided will be scored based on the indication of an understanding of the organization’s risk, including threat and vulnerabilities, as well as potential consequences of an attack. Out of 40 points, this section is worth 12 possible points. <b>If multiple locations are being requested you must address each location.</b></p>
<p><b>III. A. Threat:</b> In considering threat, the applicant should discuss the identification and substantiation of prior threats or attacks against the nonprofit organization or closely related organization by a terrorist organization, network, or cell. The applicant should also discuss findings from risk assessment, police findings, and/or insurance claims at the location where the physical security enhancements will be installed.</p>	
<p><b>III. B. Vulnerabilities:</b> In considering vulnerabilities, the applicant should discuss the organization’s susceptibility to destruction, incapacitation, or exploitation by a terrorist attack.</p>	
<p><b>III.C. Potential Consequences:</b> In considering potential consequences, the applicant should discuss potential negative effects on the organization’s asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack.</p>	
<b>IV. TARGET HARDENING</b>	
<p><b>Target Hardening:</b> In this section, describe the proposed target hardening activity, including the total Federal funds requested, that addresses the identified threat or vulnerability. Allowable costs are focused on target hardening activities as well as security-related training courses and programs limited to the protection of critical infrastructure key resources, including physical and cyber security, target hardening, and terrorism awareness/employee preparedness. Funding can also be used for the acquisition and installation of security equipment on real property (including buildings and improvements) owned or leased by the nonprofit organization, specifically in prevention of and/or in protection against the risk of a terrorist attack. This equipment is <b>limited to two categories</b> of items on the Authorized Equipment List (AEL).</p> <ul style="list-style-type: none"> <li>• Physical Security Enhancement Equipment (AEL Category 14)</li> <li>• Inspection and Screening Systems (AEL Category 15)</li> </ul> <p>The two allowable prevention and protection categories and equipment standards for the NSGP are listed on DHS AEL located on the DHS/FEMA site at: <a href="http://www.fema.gov/authorized-equipment-list">http://www.fema.gov/authorized-equipment-list</a> . The description must identify the respective AEL category for <b>all</b> requested equipment. <b>For investments addressing multiple sites, this section must detail which security enhancements are proposed for each site.</b>  <b>(2,200 Character limit not including spaces)</b></p>	<p>Target hardening activity and impact address prevention of, protection against, and/or mitigation of the identified risk(s). Out of 40 points, this section is worth 14 possible points. <b>If multiple locations are being requested you must address each location.</b></p>

Question	Scoring Criteria
<b>V. MILESTONES</b>	
<p><b>Milestones:</b> Provide description and associated key activities that lead to the milestone event over the NSGP period of performance. Start dates should reflect the start of the associated key activities and end dates should reflect when the <b><u>milestone event will occur</u></b></p> <p><b>(1,000 character limit not including spaces)</b></p>	<p>Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance. Out of 40 possible points, this section is worth 4 possible points.</p>
<b>VI. PROJECT MANAGEMENT</b>	
<p><b>Describe the project management, including:</b></p> <ul style="list-style-type: none"> <li>• Who will manage the project</li> <li>• Description of any challenges to the effective implementation of this project</li> <li>• Coordination of the project with State and local homeland security partners</li> <li>•</li> </ul> <p><b>(2,000 character limit not including spaces)</b></p>	<p>Response describes, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the Investment. Out of 40 points, this section is worth 3 possible points.</p>
<b>VII. IMPACT</b>	
<p><b>Impact:</b> What measurable outputs and outcomes will indicate that this Investment is successful at the end of the NSGP period of performance? What specific National Preparedness Goal core capabilities does this investment work to achieve? Explain how this Investment supports the building or sustaining of the National Preparedness Goal core capabilities.</p> <p><b>(2,200 character limit not including spaces)</b></p>	<p>Response describes how the outcomes will mitigate risks outlined in the Background and Risk sections, as well as how the investment supports building or sustaining the identified National Preparedness Goal core capabilities. Out of 40 points, this section is worth 5 possible points. <b>If multiple locations are being requested you must address each location.</b></p>
<b>BONUS</b>	
<b>FUNDING HISTORY</b>	
<p><b>Funding History – Previous Request Name and Funding:</b> If the nonprofit organization has received NSGP funding in the past, provide the funding source, funding amount, funding year, and the investment type</p> <p><b>(700 character limit not including spaces)</b></p>	<p>Due to the competitive nature of this program, preference will be given to nonprofit organizations that have not received prior years funding. Applicants that have not received NSGP funding in the past will receive an additional one bonus point to their total State application score at the time of submission to DHS/FEMA.</p>



# ATTACHMENT C

## Application Review Information and Investment Justification Scoring Worksheet

FY 2017 NSGP Applications will be reviewed through a two-phased State and Federal review process for completeness, adherence to programmatic guidelines, feasibility, and how well the Investment Justification (IJ) (project description and justification) addresses the identified risk. For additional information on how IJs are reviewed and scored at the State and Federal level, please refer to Attachment B - NSGP Investment Justification and Scoring Criteria.

FY 2017 NSGP evaluation criteria include items such as:

- Verification that the nonprofit organization is located within one of the designated FY 2017 Urban Area Security Initiative (UASI)-eligible Urban Areas
- Identification and substantiation of prior threats or attacks (from within or outside the U.S.) by a terrorist organization, network, or cell against the applicant based on their ideology, beliefs, or mission
- Symbolic value of the site(s) as a highly recognized regional and/or national or historical institution(s) that renders the site a possible target of terrorism
- Role of the applicant nonprofit organization in responding to terrorist attacks
- Findings from previously conducted threat and/or vulnerability assessments
- Integration of nonprofit preparedness with broader State and local preparedness efforts
- Complete, feasible IJs that address an identified risk, including threat and vulnerability, and build or sustain a core capability identified in the Goal
- Not having received prior years' NSGP funding
- Risk profile

### Application Selection Process

Applications will be reviewed in two phases to leverage local knowledge and understanding of the applicant's risk of a terrorist attack, while also ensuring coordination and alignment with Federal, State and local preparedness efforts.

**State Review:** Applications, to include the organization's Mission Statement, must be submitted by the nonprofit organization to NYS Division of Homeland Security and Emergency Services (DHSES) via the DHSES E-Grants system by **11:59 pm on June 12, 2017** to ensure adequate time for a State review of nonprofit applications.

DHSES, in coordination with the UAWG, will conduct an initial review of all submitted applications from nonprofit organizations to first determine eligibility based on the established criteria. Once eligibility has been determined, the SAA will review and score compliant IJs using the NSGP Scoring Worksheet (see Attachment C - *Investment Justification Scoring Worksheet and Prioritization of Investment Justifications Template*). Recognizing the impact an organization's ideology, beliefs, or mission may have on their risk of potential terrorist threats, DHSES must use the provided Mission Statement along with information provided in the applicant's Investment Justification in order to validate the organization type when preparing the SAA Prioritization Tracker.

DHSES is required to provide the scores from the State review along with a prioritized list of NSGP projects to DHS/FEMA. Each application will receive a unique rank. Rankings should be developed based on these two factors:

- Need – The relative need for the nonprofit organization compared to the other applicants
- Impact – The potential impact of the nonprofit organization in achieving maximum prevention and/or protection results at minimal cost

**Federal Review: The highest-scoring IJ's from each submitting Urban Area** are reviewed by a panel of Federal evaluators. In order to determine the number of applications that will advance to the Federal Review, DHS/FEMA will multiply the available FY 2017 NSGP funding by 1.5 (150%). Applicants will then be selected from each submitting Urban Area, based on their State scores, using a top-down approach until the cumulative funding amount requested has reached 150 percent (150%).

### **Final Score**

To calculate the final score, the sum of each applicant's Federal and State scores will be multiplied by a factor of three (3) for nonprofit groups that are at a high risk of terrorist attacks due to their ideology, beliefs or mission, by a factor of two (2) for medical and educational institutions, and by a factor of one (1) for all others. All final application scores will then be sorted in descending order and awardees will be selected for funding from highest to lowest until the available FY 2017 NSGP funding has been exhausted. In the event of a tie during the funding determination process, priority will be given to nonprofit organizations that have not received prior year funding and those ranked highest by their SAA. DHS/FEMA will use the final results to make funding recommendations to the Secretary of Homeland Security.

**FISCAL YEAR (FY) 2017 NONPROFIT SECURITY GRANT PROGRAM (NSGP)  
INVESTMENT JUSTIFICATION SCORING WORKSHEET**

State	<input type="text"/>
Urban Area	<input type="text"/>
Name of the Nonprofit Organization	<input type="text"/>
FY 2017 NSGP Federal Funding Request	<input type="text"/>

*Scoring Legend*

<b>Did Not</b>	The applicant provided <b>no</b> response
<b>Poor</b>	The applicant's response is <b>incomplete</b> and <b>does not</b> address all of the required information
<b>Partial</b>	The applicant's response is <b>complete</b> but <b>minimally</b> addresses all of the required information
<b>Adequate</b>	The applicant's response is <b>complete</b> and <b>moderately</b> addresses all of the required information
<b>Thorough</b>	The applicant's response is <b>complete</b> and <b>fully</b> addresses all of the required information

*I. Applicant Information (Unscored)*

**1. Did the applicant provide all of the required information in the Applicant Information Section ?**

No The applicant **did not** provide all of the required information

Yes The applicant **did** provide all of the required information

*II. Background (Total of 2 possible points)*

**2. Did the applicant provide a description of their nonprofit organization to include:**

- Symbolic value of the site as a highly recognized national or historical institution or significant institution within the community that renders the site as a possible target of terrorism
- Any role in responding to or recovering from terrorist attacks

0 = The applicant **did not** provide a response to all of the required information regarding their nonprofit organization  
 1 = The applicant provided **some** of the required information regarding their nonprofit organization  
 2 = The applicant provided **all** of the required information regarding their nonprofit organization

Score

*III. Risk (Total of 12 possible points)*

**3. In considering threat, how well did the applicant address findings from previously conducted risk assessments, police reports, and/or insurance claims?**

0 = The applicant **did not** address findings from previously conducted risk assessments, police reports, and/or insurance claims

1 = The applicant **poorly** addressed findings from previously conducted risk assessments, police reports, and/or insurance claims

2 = The applicant **partially** addressed findings from previously conducted risk assessments, police reports, and/or insurance claims

3 = The applicant **adequately** addressed findings from previously conducted risk assessments, police reports, and/or insurance claims

4 = The applicant **thoroughly** addressed findings from previously conducted risk assessments, police reports, and/or insurance claims

Score

FISCAL YEAR (FY) 2017 NONPROFIT SECURITY GRANT PROGRAM (NSGP)  
INVESTMENT JUSTIFICATION SCORING WORKSHEET

4. In considering vulnerabilities, how well did the applicant describe the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack?

- 0 = The applicant **did not** address the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 1 = The applicant **poorly** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 2 = The applicant **partially** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 3 = The applicant **adequately** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 4 = The applicant **thoroughly** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack

Score

5. In considering potential consequences, how well did the applicant address potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack?

- 0 = The applicant **did not** address potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 1 = The applicant **poorly** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 2 = The applicant **partially** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 3 = The applicant **adequately** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 4 = The applicant **thoroughly** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack

Score

*IV. Target Hardening (Total of 14 possible points)*

6. How well does the proposed target hardening activity mitigate the identified risk(s) and/or vulnerabilities?

- 0 = The applicant **did not** provide a description of how the proposed target hardening activity will mitigate the identified risk(s)
- 1 = The applicant provided a **poor** description of how the proposed target hardening activity will mitigate the identified risk(s)
- 2 = The applicant provided a **partial** description of how the proposed target hardening activity will mitigate the identified risk(s)
- 3 = The applicant provided an **adequate** description of how the proposed target hardening activity will mitigate the identified risk(s)
- 4 = The applicant provided a **thorough** description of how the proposed target hardening activity will mitigate the identified risk(s)

Score

7. Did the applicant's proposed target hardening activity focus on the prevention of and/or protection against the risk of a terrorist attack?

- 0 = The applicant's target hardening activity **did not** focus on the prevention of and/or protection against the risk of a terrorist attack
- 1 = The applicant's target hardening activity **poorly** focused on the prevention of and/or protection against the risk of a terrorist attack
- 2 = The applicant's target hardening activity **partially** focused on the prevention of and/or protection against the risk of a terrorist attack
- 3 = The applicant's target hardening activity **adequately** focused on the prevention of and/or protection against the risk of a terrorist attack
- 4 = The applicant's target hardening activity **thoroughly** focused on the prevention of and/or protection against the risk of a terrorist attack

Score

FISCAL YEAR (FY) 2017 NONPROFIT SECURITY GRANT PROGRAM (NSGP)  
INVESTMENT JUSTIFICATION SCORING WORKSHEET

**8. Did the applicant propose projects that are allowable based on the priorities of the program?**

- 0 = The proposed projects are not allowable based on the priorities of the program
- 1 = The proposed projects are partially allowable and the unallowability will compromise the successful implementation of the project.
- 2 = The proposed projects are partially allowable but could be resolved with a minor modification to the proposed project
- 3 = The proposed projects are all allowable based on the priorities of the program.

Score

**9. Did the applicant propose projects that are feasible based on the priorities of the program?**

- 0 = The proposed projects are not feasible based on the priorities of the program
- 1 = The proposed projects could be feasible but require significant changes.
- 2 = The proposed projects could be feasible but require minor changes.
- 3 = The proposed projects are feasible based on the priorities of the program.

Score

*V. Milestones (Total of 4 possible points)*

**10. How well did the applicant describe the milestones and the associated key activities that lead to the milestone event over the FY 2017 NSGP period of performance?**

- 0 = The applicant did not provide a description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance
- 1 = The applicant provided a poor description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance
- 2 = The applicant provided a partial description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance
- 3 = The applicant provided an adequate description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance
- 4 = The applicant provided a thorough description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance

Score

FISCAL YEAR (FY) 2017 NONPROFIT SECURITY GRANT PROGRAM (NSGP)  
INVESTMENT JUSTIFICATION SCORING WORKSHEET

*VI. Project Management (Total of 3 possible points)*

11. How well did the applicant justify the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment?

- 0 = The applicant **did not** justify the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 1 = The applicant **partially** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 2 = The applicant **adequately** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 3 = The applicant **thoroughly** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment

Score

*VII. Impact (Total of 5 possible points)*

12. How well did the applicant describe the outcomes/outputs that would indicate that the investment was successful?

- 0 = The applicant did not discuss what outcomes/outputs indicate that the investment was successful
- 1 = The applicant poorly discussed what outcomes/outputs indicate that the investment was successful
- 2 = The applicant partially discussed what outcomes/outputs indicate that the investment was successful
- 3 = The applicant adequately discussed what outcomes/outputs indicate that the investment was successful
- 4 = The applicant thoroughly what outcomes/outputs indicate that the investment was successful

Score

13. Did the applicant describe how the investment supports building or sustaining the identified Goal Core Capabilities?

- 0 = The applicant did not provide a description of how the investment supports building or sustaining the identified Goal Core Capabilities
- 1 = The applicant provide a description of how the investment supports building or sustaining the identified Goal Core Capabilities

Score

*Total Score*

**Total Investment Justification Score:**

Based on a possible score of 40, this Investment Justification scored a:

## **ATTACHMENT D**

### **FY 2017 NSGP Program Specific Priorities**

#### **The Alignment of NSGP to the National Preparedness System (NPS)**

The Nation utilizes the National Preparedness System to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal). The Goal is “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The objective of the National Preparedness System is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

The FY 2017 NSGP Program contributes to the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks identified in the National Planning Frameworks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The NSGP Program’s allowable costs support efforts to build or sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Emphasis is placed on capabilities that address the greatest risks to the security and resilience of the United States, and the greatest risks along the Nation’s borders. When applicable, funding should support deployable assets that can be utilized anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the Emergency Management Assistance Compact (EMAC).

Using the core capabilities, the FY 2017 NSGP supports the achievement of the Goal by:

- Preventing a threatened or an actual act of terrorism.
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards.
- Mitigating the loss of life and property by lessening the impact of future disasters.
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident.
  
- Recovering through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as



well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

The core capabilities contained in the Goal are highly interdependent and require the use of existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the appropriate administrative, finance, and logistics systems are in place.

To support building, sustaining, and delivering these core capabilities, Sub-recipients will use the components of the National Preparedness System, which are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. For more information on each component, read the National Preparedness System Description available at [http://www.fema.gov/pdf/prepared/nps\\_description.pdf](http://www.fema.gov/pdf/prepared/nps_description.pdf)

### **Building and Sustaining Core Capabilities**

The FY 2017 NSGP focuses on the development and sustainment of core capabilities as outlined in the Goal. Particular emphasis will be placed on building and sustaining capabilities that address high consequence events that pose the greatest risk to the security and resilience of the United States and that can be utilized nationwide.

Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential capabilities are the core capabilities identified in the Goal.

Working together, individuals, government officials, and elected leaders can develop plans to allocate resources effectively and reduce risk. For these plans to be effective, those involved must consider methods to reduce and manage risk as well as how to sustain appropriate levels of capability and address potential shortfalls in order to achieve the Goal.

Achieving the Goal will require participation and resources from the whole community. Not all capabilities can be addressed in a given local, State, or Federal funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of certain capabilities to most effectively ensure their security and resilience while understanding the effects of not addressing other identified needs. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Consideration must also be given to finding, connecting to, and strengthening community resources by using the expertise and capacity of the whole community: individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions must also use mutual aid agreements to fill needs and work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government or partners to address a particular need. This expectation should be



communicated well before an event occurs when the capabilities are most urgently needed.

### **Strengthening Governance Integration**

DHS/FEMA preparedness grant programs are intended to support the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response and Recovery that are necessary to prepare for incidents that pose the greatest risk to the Nation's security. Each program reflects the Department's intent to build and sustain an integrated network of national capabilities across all levels of government and the whole community. With declining Federal funds available to support these capabilities, disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

DHS/FEMA requires that all governance processes that guide the allocation of preparedness grant funds adhere to the following guiding principles:

- *Prioritization of Investments* – resources must be allocated to address the most critical capability needs.
- *Transparency* – stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.
- *Substantive Local Involvement* – the tools and processes that are used to inform the critical priorities which DHS/FEMA grants support must include local government representatives. At the state and regional level, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- *Flexibility with Accountability* – recognition of unique preparedness gaps at the local level, as well as maintaining and sustaining existing capabilities.
- *Support of Regional Coordination* – recognition of inter/intra-state partnerships and dependencies at the state and regional level, and within metropolitan areas.

### **Enhancing Cybersecurity Capabilities**

Applicants are encouraged to propose projects to aid in implementation of all or part of the National Institute of Standards and Technology (NIST) Cyber Security Framework (CSF) when requesting funds for cybersecurity. The CSF is available at

<https://www.nist.gov/sites/default/files/documents/cyberframework/cybersecurity-framework-021214.pdf>.

The Framework gathers existing global standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that don't know where to start, the Framework provides a road

map. For organizations with more advanced cybersecurity, the Framework offers a way to better communicate with their leadership and with suppliers about management of cyber risks.

The Department of Homeland Security's Critical Infrastructure Cyber Community C<sup>3</sup> Voluntary Program also provides resources to critical infrastructure owners and operators to assist in the adoption of the Framework and managing cyber risks. For more information visit: <http://www.us-cert.gov/ccubedvp>.

# ATTACHMENT E

## Prequalification Requirement for Nonprofit Applicants

The State of New York has implemented a statewide prequalification process designated to facilitate prompt contracting for nonprofit organizations. Interested organizations are asked to submit commonly requested documents, and answer frequently asked questions once. The application requests organizational information about the vendor's capacity, legal compliance, and integrity.

Below is a summary of the steps that must be undertaken in order for you to prequalify:

- Go to the Grants Reform website at (<http://grantsreform.ny.gov/Grantees>) and download a copy of the Registration Form. Please review the instructions for submission of this Form. The registration form must be signed and notarized and mailed to NYS Grants Reform, 99 Washington Avenue, Room 1530, Albany, NY 12210-2814 along with a copy of your organizational chart that shows, at a minimum, the top three levels of your organization. The form also requires your 10 digit Statewide Financial System (SFS) Vendor ID Number. If your organization does not have an SFS Vendor ID Number you must submit a completed Substitute W-9 Form along with the Registration Form. The Substitute W-9 Form can be found on the Grants Gateway website (<http://grantsreform.ny.gov/Grantees>). Incomplete forms or missing documentation will hold up your registration process.
- Upon submission of your Registration Form, you will be emailed a User ID allowing you to gain access to the Grants Gateway. Log into the Gateway System and begin your prequalification application.
- Organizations that have already submitted registration materials and received their user credentials can begin to upload documents into the Document Vault and complete their online prequalification application.
- As you fill out the prequalification application, please refer to the Gateway Training Materials and resource links posted on the Grants Reform website to help you navigate through the process. If you still have questions, please contact the Grants Reform office at [grantsreform@its.ny.gov](mailto:grantsreform@its.ny.gov) and someone will get back to you quickly with a response.
- To learn how to obtain the status sheet from the Grants Gateway website verifying that you are prequalified please refer to page 61 of the E-Grants Tutorial located at: <http://www.dhSES.ny.gov/grants/nonprofit/uasi-nsgp.cfm>

**All nonprofit organizations MUST be prequalified in the Grants Gateway prior to submitting a grant application. If your organization is not prequalified at the time of application submission your application will be disqualified without further review or consideration.**