



Homeland Security and Emergency Services

FY 2019 Nonprofit Security Grant Program – Urban Area (NSGP-UA) and State (NSGP-S)

Updated Request for Applications (RFA)

Application Deadline: May 8, 2019

Technical Assistance for E-Grants will not be available after 5:00 pm on May 8, 2019

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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 2019 Nonprofit Security Grant Program (NSGP). This year funding is being made available from two separate funding sources under the NSGP. Nonprofit organizations may apply for only one of the funding sources depending on the location of their facility they are seeking funding support as follows:

- 1) NSGP - Urban Area (NSGP-UA) – \$50 million is being made available nationally to support nonprofit organizations that are located within a federally designated urban area. In NYS, organizations who are **located in the NYC Urban Area which includes:** the five boroughs in New York City, Nassau County, Suffolk County and Westchester County are eligible to apply for this portion of funding. Each nonprofit organization may submit an application for up to \$100,000 in grant funds.
- 2) NSGP - State (NSGP-S) - \$250,000 is being allocated to New York State to support nonprofit organizations that are **located outside of the federally designated urban areas.** Each nonprofit organization may submit an application for up to \$100,000 in grant funds.

Should I apply to NSGP-UA or NSGP-S?

If your nonprofit organization is physically located within a FY 2019 UASI-designated urban area, then you may apply to NSGP-UA; if your nonprofit organization is not physically located within a FY 2019 UASI-designated urban area then you may apply to NSGP-S. You may not apply to both programs.

The NSGP program provides funding support for hardening and other physical security enhancements to nonprofit organizations that are at high risk of terrorist attack. The program seeks to integrate preparedness activities of nonprofit organizations that are at a high risk of a terrorist attack with broader State, Local, Tribal and Territorial (SLTT) preparedness efforts. The NSGP also promotes coordination and collaboration in emergency preparedness activities among public and private community representatives as well as SLTT government agencies.

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.
- Able to demonstrate, through the application, that the organization is at **high risk of a terrorist attack.**

- Be prequalified, through the New York State Grants Gateway prior to application submission <https://grantsmanagement.ny.gov/get-prequalified>.
- Provide a current and valid DUNS number with the 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 **for the facility listed on the Investment Justification(s)**. If you are applying for multiple locations you must submit a complete separate Investment Justification for each location with a vulnerability assessment specific to the location/facility for which you are applying. The assessment must include the address of each facility.
- Be registered, have recently applied for registration or be exempt from registering with the NYS Attorney General’s Office Charities Bureau https://www.charitiesnys.com/charities_new.html.

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 current or persistent threats or attacks (from within or outside the United States) 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 or recovering from terrorist attacks;
- Findings from previously conducted risk assessments including threat and/or vulnerability assessments.

III. Program Objectives

The FY 2019 NSGP provides funding support for physical security enhancements and other security related activities to nonprofit organizations that are at high risk of terrorist attack. NSGP seeks to integrate the preparedness activities of nonprofit organizations with broader state and local preparedness efforts.

The FY 2019 NSGP objectives are to support efforts that:

- Build and sustain core capabilities.
- Strengthen governance integration between private nonprofit entities and Federal, state and local governments.
- Encourage a whole community approach to security and emergency management.

For additional details on priorities for this program, please refer to Exhibit D – FY 2019 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 available at <https://www.dhs.gov/active-shooter-preparedness>.

An additional resource, the Joint DHS and Federal Bureau of Investigation (FBI) Countering Violent Extremism (CVE) and Active Shooter Web Portal is located within the Homeland Security Information Network (HSIN). The 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 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>.

Soft Targets and Crowded Places

There are continued and growing threats facing Soft Targets and Crowded Places (ST-CP) throughout the nation. ST-CPs are those locations or environments that are easily accessible to large numbers of people on a predictable or semi-predictable basis that have limited security or

protective measures in place. These locations are vulnerable to attack using simple tactics and readily accessible weapons such as small arms, edged weapons, and vehicles as a weapon, improvised explosive devices, and unmanned aerial systems. ST-CPs can include places such as town centers, shopping malls, open-air venues, outside hard targets/venues perimeters, and other places of meeting and gathering. DHS is committed to reducing the risk of attacks against ST-CPs and the impact of attacks if they do occur. However, the protection and security of ST-CPs is a shared responsibility among whole community partners including the public, ST-CP owners and operators, security industry partners, the Federal Government, and State, local, tribal, and territorial (SLTT) government partners. States, territories, urban areas, and public and private sector partners are encouraged to identify security gaps and build capabilities that address security needs of ST-CP, understanding the unique challenges related to protecting locations that are open to the public. States, territories, urban areas, and public and private sector partners are also encouraged to use resources to instill a culture of awareness, vigilance, and preparedness. For more information and additional resources please see the DHS's Hometown Security Program at: <https://www.dhs.gov/cisa/hometown-security> .

Protecting Houses of Worship and Public Venues

Across the United States, Americans congregate in faith-based venues to worship, learn, play, and bond as a community. However, public gatherings are vulnerable, and adversaries may perceive houses of worship as attractive targets where they can inflict mass casualties, cause substantial psychological impacts, and draw extensive media coverage. The Department of Homeland Security Center for Faith-Based & Neighborhood Partnerships (DHS Center) partners with interagency and whole community partners to offer numerous resources to assist faith-based and community organizations with their efforts to prepare for all types of hazards, whether natural or man-made. Technical assistance is provided through presentations, workshops, webinars, tabletop exercises, and training. Access to these free resources can be found at www.fema.gov/faith-resources.

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 will coordinate the scoring and the evaluation of all applications which will be submitted to FEMA for final approval and award decisions.

B. Filing an Application

Grant applications must be submitted via the automated DHSES E-Grants System by 5:00 p.m. on May 8, 2019. The system allows an organization 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.

A detailed tutorial on how to use the E-Grants system can also be found at: <http://www.dhSES.ny.gov/grants/nonprofit/index.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: <https://grantsmanagement.ny.gov/get-prequalified>.

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 Exhibit E.

D. NSGP Investment Justification

As part of the FY 2019 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 that the nonprofit occupies at the time of application.** Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this RFA. Applicants may only submit **one IJ per facility, and only one facility per IJ**, with that facility having a physical address (not a PO Box Number). If you have more than one facility that you would like considered for funding you must submit separate IJ’s for each facility address. The total amount of funding for all IJ’s submitted is not to exceed \$100,000 for NSGP-UA or \$100,000 for NSGP-S. All applicable IJ’s should be attached to a single E-Grants application under the legal name of the organization.

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 2019 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/index.cfm>.

For detailed instructions on completing the IJ template see Exhibit B of this RFA.

E. Required Application Submissions

To be considered for funding, eligible nonprofit organizations must submit an application using the State's Electronic Grants (E-Grants) System (see Exhibit 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) or a copy of your on-line Questionnaire certified within the last six months
- Mission Statement (Submitted as an attachment in E-Grants)
- Threat and/or vulnerability assessment for each facility listed on each Investment Justification (Submitted as an attachment in E-Grants)

F. Authorized Program Expenditures

Equipment

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

- Physical Security Enhancement Equipment (Section 14)

- Inspection and Screening Systems (Section 15)

The two allowable prevention and protection categories and equipment standards for the FY 2019 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, statutory, and regulatory and DHS/FEMA adopted standards to be eligible for purchase using these funds, including the Americans with Disabilities Act. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Planning

Funding may be used for security or emergency planning expenses and the materials required to conduct planning activities. Planning must be related to the protection of the facility and the people within the facility and should include consideration of access and functional needs considerations as well as those with limited English proficiency. Examples of planning activities allowable under this program include:

- Development and enhancement of security plans and protocols.
- Development or further strengthening of security assessments.
- Emergency contingency plans.
- Evacuation/Shelter-in-place plans.
- Other project planning activities with prior approval from DHS/FEMA.

Exercise

Funding may be used to conduct security-related exercises. This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, and documentation. Exercises afford organizations the opportunity to validate plans and procedures, evaluate capabilities, and assess progress toward meeting capability targets in a controlled, low-risk setting. All shortcomings or gaps—including those identified for children and individuals with access and functional needs—should be identified in an improvement plan. Improvement plans should be dynamic documents with corrective actions continually monitored and implemented as part of improving preparedness through the exercise cycle.

The Homeland Security Exercise and Evaluation Program (HSEEP) provides a set of guiding principles for exercise programs, as well as a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning. For additional information on HSEEP, refer to:

<https://www.fema.gov/exercise>. In accordance with HSEEP guidance, subrecipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. This link provides access to a sample AAR/IP template:

<https://preptoolkit.fema.gov/web/hseep-resources/improvement-planning>. Recipients are encouraged to enter their exercise data and AAR/IP in the Preparedness Toolkit at <https://preptoolkit.fema.gov/web/hseep-resources>.

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 DHS Instruction Manual 023-01-001-01, Revision 01, FEMA Directive 108-1 and FEMA Instruction 108-1-1, https://www.dhs.gov/sites/default/files/publications/DHS_Instruction%20Manual%20023-01-001-01%20Rev%2001_508compliantversion.pdf must also be identified to the FEMA 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 (codified as amended at 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 organizations may use NSGP funds for the following training related costs:

- Employed or volunteer security staff to attend security related training within the United States;
- Employed or volunteer staff to attend security-related training within the United States with the intent of training other employees or

member/congregants upon completing the training (i.e., “train-the-trainer” type courses);

- Nonprofit organization’s employees, or member/congregants to receive on-site security training.

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 including programs such as Community Emergency Response Team (CERT) training, Active Shooter training, and emergency first aid training. 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.

Contracted Security Personnel

Hiring of contracted security personnel is allowed under this program. NSGP funds may not be used to purchase equipment for contracted security. The sub-recipient must be able to sustain this capability in future years without NSGP funding. **These costs should be classified as organization costs. Subrecipients may not use NSGP funding to hire full or part-time employees that will be placed on a nonprofit’s payroll.**

The Homeland Security Act of 2002, as amended by the PRICE of Homeland Security Act limits the use of no more than 50 percent of an award for personnel activities unless a waiver is approved by FEMA. Nonprofit organizations that apply for and are awarded NSGP funds for contracted security personnel must count such costs towards the nonprofit organization’s 50% personnel cap. FEMA will review an applicant’s contract security costs at time of award and anticipates waiving the personnel cap, where necessary, as a term and condition of the award.

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 2019 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. M&A 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

The use of DHS/FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable, as described in DHS/FEMA Policy FP 205-402-125-1 (Additional guidance is provided in DHS/FEMA Policy FP 205-402-125-1, Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants, located at: <http://www.fema.gov/media-library/assets/documents/32474>, under all active and future grant awards, unless otherwise noted.

Grant funds are intended to support the National Preparedness Goal and fund projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide recipients the ability to meet this objective, the policy set forth in GPD's IB 379: Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding at: <https://www.fema.gov/pdf/government/grant/bulletins/info379.pdf> allows for the expansion of eligible maintenance and sustainment costs which must be in (1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program, and (3) be tied to one of the core capabilities in the five mission areas outlined in the Goal. Additionally, eligible costs may also support equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

Unallowable Costs

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

- Organization costs and operational overtime costs
- 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

VI. 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, prequalified 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 **5:00 p.m. on May 8, 2019**?
2. Is the application complete?
3. Is the applicant prequalified in the NYS Grants Management?
4. Is the applicant recognized as an IRS 501(c)(3) tax-exempt status organization?
5. Obtained and provided current and valid Dun and Brad Street Number?
6. Is a copy of the Investment Justification attached to the application in the required format?
7. Is a copy of the mission statement attached to the application?
8. Is a copy of a recent threat and/or vulnerability assessment attached to the application?

9. Is the applicant a responsible vendor as evidenced by the **completed, 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) and/or other relevant review panel participants 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 and;
- Impact – The feasibility of the proposed project and how effectively the proposed project addresses the identified need.

This review will produce a score of up to 40 points total (see Exhibit 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 ten bonus points on their total State application score.**

NOTE: Upon award, recipients may only fund Investments that were included within the FY 2019 Investment Justification that were submitted to DHS/FEMA and evaluated through the Federal review process.

VII. Timeline

- April 12, 2019 - FEMA Notice of Funding Opportunity released
- April 16, 2019 – DHSES releases Request For Applications (RFA)
- May 8 2019 – RFA due back to DHSES
- May 29, 2019 – All application materials due to FEMA from SAA
- August 2, 2019 - Anticipated Funding Selection
- No later than September 30, 2019 – Anticipated Award Date

VIII. 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 \$100,000 in NSGP-UA or up to \$100,000 in NSGP-S grant funds.

IX. 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 9/1/2019-8/31/2022).

Environmental and Historic Preservation (EHP) 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 DHS/FEMA, 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. The EHP review process involves the submission of a detailed project description 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; otherwise DHS/FEMA may not be able to fund the project due to noncompliance with EHP laws, executive order, regulations, and policies.

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: Recipients/Contractors will be required to provide an updated NYS Vendor Responsibility Questionnaire (VRQ) form to DHSES prior to contracting if there were issues identified between the time the application was submitted and the contract is written or if the VRQ was due to be re-certified after the application was submitted.

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. Minority and women-owned business enterprises can be readily identified on the directory of certified businesses at: <https://ny.newnycontracts.com/>.

All qualified applicants shall be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

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: <https://online.ogs.ny.gov/SDVOB/search>.

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.

Worker's Compensation and Disability Benefits Insurance Coverage

Applicants must provide evidence of appropriate workers' compensation and disability insurance coverage, or proof of a legal exemption, prior to being awarded a contract. Failure to do so will result in the rejection of the application.

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.

X. Administration of Grant Contracts

A. Reserved Rights

DHSES Reserves the Right To:

1. Reject any and all applications received in response to this RFA;
2. Withdraw the RFA at any time at DHSES' sole discretion;
3. Make an award under the RFA in whole or in part;
4. Disqualify any applicant whose conduct and/or application fails to conform to the requirements of the RFA;
5. Seek clarifications and revisions of the applications;
6. Use application information obtained through site visits, management interviews and the State's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to DHSES' request for clarifying information in the course of evaluation and/or selection under the RFA;
7. Prior to the application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available;
8. Prior to the application opening, direct applicants to submit application modifications addressing subsequent RFA amendments;
9. Change any of the scheduled dates;
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all the prospective applicants;
11. Waive any requirements that are not material;
12. Negotiate with successful applicants within the scope of the RFA in the best interests of the State;
13. Conduct contract negotiations with the next responsible applicant, should DHSES be unsuccessful in negotiating with the selected applicant;
14. Utilize any and all ideas submitted in the applications received;

15. Unless otherwise specified in the RFA, every offer is firm and not revocable for a period of 60 days from the application opening; and,
16. Require clarification at any time during the application process and /or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an applicant's proposal and/or to determine an applicant's compliance with the requirements of this RFA.
17. Award grants based on geographic or regional considerations to serve the best interests of the State.
18. Terminate, renew, amend or renegotiate contracts with sub-recipients at the discretion of DHSES.
19. Periodically monitor the sub-recipient's performance in all areas mentioned above, in addition to the activities in the contract.
20. Revoke funds awarded to an applicant, or enforce any available sanction against any applicant, who materially alters the activities or is in material noncompliance under the grant award, or who does not implement an approved project within 60 days of the final contract approval.
21. Recipients and sub-recipients funded through this program agree to provide DHSES, upon request at any time during the life of the grant contract, such cooperation and information deemed necessary by DHSES to ascertain: (1) the nature and extent of any threats or hazards that may pose a risk to the recipient or sub-recipient; and (2) the status of any corresponding recipient or sub-recipient plans, capabilities, or other resources for preventing, protecting against, mitigating, responding to, and recovering from such threats or hazards.
22. Funded recipients and sub-recipients agree to attend and participate in any DHSES-sponsored conferences, training, workshops or meetings (excluding those identified by DHSES as voluntary) that may be conducted, by and at the request of DHSES, during the life of the grant contract.
23. DHSES reserves the sole discretion to increase or decrease the total funding available for this program at any time, resulting in more or fewer applications funded under this RFA.

B. Terms of the Contract

1. 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.
2. 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.
3. Your organization is required to be prequalified in the Grants Gateway system
<https://grantsmanagement.ny.gov/get-prequalified>.
4. 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>.
5. Contract Period – Grant contracts supported with FY 2019 funding are executed for a period of three years and are subject to the continued availability of the grant funding.
6. Contract Activities - All activities must have prior approval from DHSES and meet guidelines established by the State of New York and the Federal government.
7. 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.
8. 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.
9. 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.
10. 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.
11. 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.
12. 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.

13. 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.
14. 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).
15. Vendor Responsibility – State Finance Law §163(9)(f) requires a State Agency to make a determination that an Applicant is responsible prior to awarding that Applicant a State contract which may be based on numerous factors, including, but not limited to the Applicants: (1) financial and organizational capacity; (2) legal authority to do business in this State; (3) integrity of the owners, officers, principals, members, and contract managers; and (4) past performance of the Applicant on prior government contracts. Thereafter, 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 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. 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 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 Questionnaire prior to contracting.
16. NYS Charities Bureau Filing–Sub-recipients are required to be current with their NYS Attorney General’s Office, Charities Bureau filing.
17. 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.
18. 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.

19. 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.
20. 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.
21. 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.

A debriefing is available to any entity that submitted a proposal or bid to a solicitation ("Bidder"). A Bidder will be accorded fair and equal treatment with respect to its opportunity for debriefing. Debriefing shall be requested in writing by the unsuccessful Bidder within 5 business days of DHSES publicly releasing the final award decisions. An unsuccessful Bidder's written request for a debriefing shall be submitted to Director of Grants Program Administration. The debriefing shall be scheduled within 10 business days of receipt of the written request by DHSES or as soon as practicable under the circumstances.

XI. Questions

Questions regarding the FY 2019 Nonprofit Security Grant Program for should be directed to the following e-mail address Grant.Info@dhSES.ny.gov. To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until **12:00 noon on May 6, 2019**.

Updates and frequently asked questions will be posted on the NYS Division of Homeland Security and Emergency Services (DHSES) website (*Please check the website frequently for updates*): <http://www.dhSES.ny.gov/grants/nonprofit/index.cfm>.

All technical assistance questions **regarding the E-Grants System** should be directed to DHSES via e-mail (Grant.Info@dhSES.ny.gov) or telephone (866-837-9133). **No technical assistance** will be available **after 5:00 p.m. on May 8, 2019**.

Exhibit 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

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/index.cfm>.

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

Exhibit B

NSGP Investment Justification and Scoring Criteria

Question	Scoring Criteria
I. APPLICANT INFORMATION	
<p>Identify the following:</p> <ul style="list-style-type: none"> Legal Name of the Organization Physical Address of the Facility the City and/or County Name. Only one facility per Investment Justification. Year the Original Facility was Constructed Organization Type (Short description of organization’s ideology, beliefs or mission) Membership and community served 501(c)(3) Number (If Applicable) Current Dun and Bradstreet Number (only current and valid DUNS numbers will be accepted; we cannot accept “pending” DUNS numbers. FY 2019 UASI Urban Area in which the organization is located (NSGP-UA) only NSGP Federal Funding Request (Each nonprofit organization may only apply for up to a \$100,000) NSGP Total Project Cost Any Current Contract with DHS (not including previously awarded DHS funding) (Yes/No – if yes, please describe) Investment Phase - New or Ongoing <p>(1,500 character limit not including spaces)</p>	<p>Information under “Applicant Information” will not be scored</p> <p>The legal name of the organization should match what you have entered into the E-Grants System.</p> <p>“Physical Address of the Facility to include the City and/or County Name” means the actual address at which the equipment will be installed. Only one facility address may be listed on an IJ.</p>
II. BACKGROUND	
<p>Background: Describe the nonprofit organization including:</p> <ul style="list-style-type: none"> 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 Any previous or existing role in responding to or recovering from terrorist attacks <p>(1,800 Character limit not including spaces)</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.</p>

Question	Scoring Criteria
III. RISK	
<p>Risk: 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. (2,200 character limit not including spaces)</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.</p>
<p>III. A. Threat: 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>III. B. Vulnerabilities: In considering vulnerabilities, the applicant should discuss the organization’s susceptibility to destruction, incapacitation, or exploitation by a terrorist attack.</p>	
<p>III.C. Potential Consequences: 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>	
IV. TARGET HARDENING	
<p>Target Hardening: 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 hiring of contracted security personnel, 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 limited to two categories of items on the Authorized Equipment List (AEL).</p> <ul style="list-style-type: none"> • Physical Security Enhancement Equipment (AEL Category 14) • Inspection and Screening Systems (AEL Category 15) <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: http://www.fema.gov/authorized-equipment-list. The description must identify the respective AEL category for all requested equipment (2,200 Character limit not including spaces)</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.</p>

Question	Scoring Criteria
V. MILESTONES	
<p>Milestones: 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 <u>milestone event will occur</u></p> <p>(1,000 character limit not including spaces)</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>
VI. PROJECT MANAGEMENT	
<p>Describe the project management, including:</p> <ul style="list-style-type: none"> • Who will manage the project • Description of any challenges to the effective implementation of this project • Coordination of the project with State and local homeland security partners • <p>(2,000 character limit not including spaces)</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>
VII. IMPACT	
<p>Impact: 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>(2,200 character limit not including spaces)</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.</p>
BONUS	
FUNDING HISTORY	
<p>Funding History – Previous Request Name and Funding: NSGP-UA and NSGP-S: 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>(700 character limit not including spaces)</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 ten bonus points to their total State application score at the time of submission to DHS/FEMA.</p>

Exhibit C

Application Review Information and Investment Justification Scoring Worksheet

FY 2019 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 Exhibit B - NSGP Investment Justification and Scoring Criteria.

FY 2019 NSGP evaluation criteria include items such as:

- 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 and feasible IJ that addresses an identified risk, including the assessed threat, vulnerability and consequence of the risk, and proposes building or sustaining a core capability identified in the Goal
- History of prior funding under NSGP. Not having received prior year funding is a positive factor when calculating the state score of the application.

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 and vulnerability assessment, must be submitted by the nonprofit organization to NYS Division of Homeland Security and Emergency Services (DHSES) via the DHSES E-Grants system by **5:00 pm on May 8, 2019** to ensure adequate time for a State review of nonprofit applications.

DHSES 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, in coordination with the UAWG, will review and score compliant IJs using the NSGP Scoring Worksheet (see Exhibit 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 will be based on subject matter expertise and discretion with consideration of the following factors:

- Need – The relative need for the nonprofit organization compared to the other applicants
- Impact – The feasibility of the proposed project and how effectively the proposed project addresses the identified need.

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 2019 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 an application's final score, the sum of the applicant's state score and the average of the two Federal reviewers' 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 2019 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 then those ranked highest by their SAA. DHS/FEMA will use the final results to make funding recommendations to the Secretary of Homeland Security. All final funding determinations will be made by the Secretary of Homeland Security, who retains the discretion to consider other factors and information in addition to DHS/FEMA's funding recommendations.

Investment Justification Scoring Criteria

NONPROFIT SECURITY GRANT PROGRAM (NSGP) INVESTMENT JUSTIFICATION SCORING WORKSHEET	
State or Territory	<input style="width: 95%;" type="text"/>
Urban Area (if applicable)	<input style="width: 95%;" type="text"/>
Name of the Nonprofit Organization	<input style="width: 95%;" type="text"/>
NSGP Federal Funding Request	<input style="width: 95%;" type="text"/>
<i>Scoring Legend</i>	
Did Not	The applicant provided no response
Poor	The applicant's response is incomplete and does not address all of the required information
Partial	The applicant's response is complete but minimally addresses all of the required information
Adequate	The applicant's response is complete and moderately addresses all of the required information
Thorough	The applicant's response is complete and fully addresses all of the required information
<i>I. Applicant Information (Unscored)</i>	
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
<input style="width: 20px; height: 20px;" type="checkbox"/>	<input style="width: 95%; height: 20px;" type="text"/>
<i>II. Background (Total of 2 possible points)</i>	
2. Did the applicant provide a description of their nonprofit organization to include:	
<ul style="list-style-type: none"> ▪ 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	
<i>Score</i>	<input style="width: 20px; height: 20px;" type="checkbox"/>
	<input style="width: 95%; height: 20px;" type="text"/>

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

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,

- 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

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 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 NSGP period of performance
- 1 = The applicant provided a poor description of milestones and associated activities that lead to the milestone event over the NSGP period of performance
- 2 = The applicant provided a partial description of milestones and associated activities that lead to the milestone event over the NSGP period of performance
- 3 = The applicant provided an adequate description of milestones and associated activities that lead to the milestone event over the NSGP period of performance
- 4 = The applicant provided a thorough description of milestones and associated activities that lead to the milestone event over the NSGP period of performance

Score

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:

Exhibit D

FY 2019 NSGP Program Specific Priorities

The Alignment of NSGP to the National Preparedness Goal

The National Preparedness Goal (the Goal) is “[a] secure and resilient National 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 Goal essentially defines what it means for all communities to be prepared collectively for the threats and hazards that pose the greatest risk to the nation. The Goal identifies 32 distinct activities, called core capabilities, need to address the risks. The Goal organizes these core capabilities into five categories called mission areas. Some core capabilities apply to more than one mission area. For example, the first three core capabilities – Planning, Public Information and Warning, and Operational Coordination – are cross-cutting capabilities, meaning they apply to each of the five mission areas. The National Preparedness Goal describes the five mission areas as follows:

- **Prevention:** Prevent, avoid or stop an imminent, threatened or actual act of terrorism.
- **Protection:** Protect our citizens, residents, visitors, and assets against the greatest threats and hazards in the manner that allows our interests, aspirations and way of life to thrive.
- **Mitigation:** Reduce the loss of life and property by lessening the impact of future disasters.
- **Response:** Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of an incident.
- **Recovery:** Recover through a focus on the timely restoration, strengthening and revitalization of infrastructure, housing and sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by an incident.

The mission areas and core capabilities organize the activities and tasks performed before, during, and after disasters into framework for achieving the goal of a secure and resilient Nation. Resilience is the desired outcome, defined in the Goal as the “ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.”

For more information about the National Preparedness Goal, go to <https://www.fema.gov/national-preparedness-goal>. Recipients will use the National Preparedness System to build, sustain, and deliver these core capabilities. The components of the National Preparedness System are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. Additional information on the National Preparedness System is available at <http://www.fema.gov/national-preparedness-system>. Additional details regarding the National Preparedness System and how it is supported by these grant programs can be found in the program-specific appendices.

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. 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:

- *Coordination of Investments:* Resources must be allocated to address the most critical capability needs as identified in the SPR and coordinated among affected preparedness stakeholders.
- *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 of primary concern to the jurisdiction are accounted for.
- *Accountability:* FEMA recognizes that unique preparedness gaps exist at the local level. However, grant recipients are responsible for ensuring the effective use of grant funds to address those gaps and for maintaining and sustaining existing capabilities.
- *Support of Regional Coordination:* Inter/intra-state partnerships and dependencies at the state and regional levels, including those within metropolitan areas must be recognized.

Exhibit 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 Management website at: <https://grantsmanagement.ny.gov/register-your-organization> 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 Management, 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 Management website: <https://grantsmanagement.ny.gov/system/files/documents/2018/09/subw9.pdf>. 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 Management website to help you navigate through the process <https://grantsmanagement.ny.gov/resources-grant-applicants>. If you still have questions, please contact the Grants Management office at 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 Management website verifying that you are prequalified please refer to page 65 of the E-Grants Tutorial located at: <http://www.dhSES.ny.gov/grants/nonprofit/index.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. Statuses that are considered prequalified are: “Document Vault Prequalified”; “Document Vault Prequalified Open”; Document Vault Prequalified/In Review”; and “Document Vault Open for PQS Edits”. Make sure you check your status when you run your prequalification status report to be attached to your E-Grants project.