



**Homeland Security
and Emergency Services**

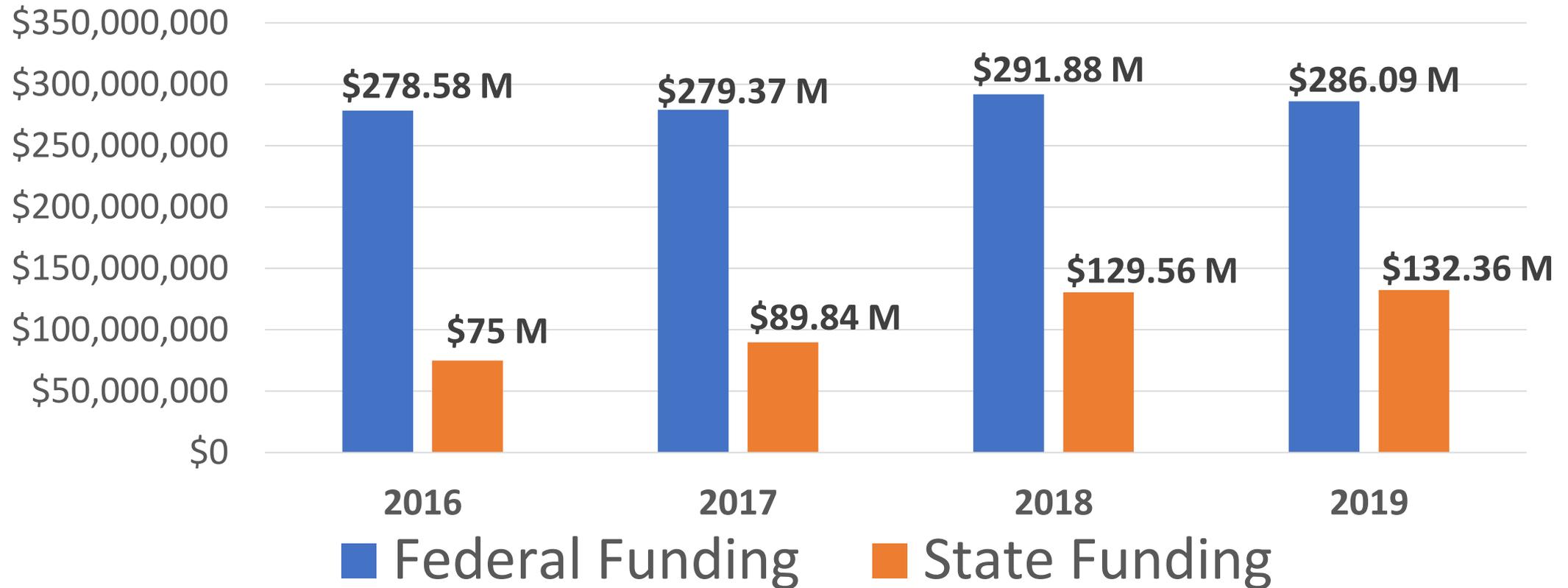
Grant Program Updates

**NYS DHSES Grants Program Administration
Program, Contract, and Fiscal Staff**

November 4, 2019

Recent Levels of Funding

DHSES Managed Federal and State Grant Programs (Open Funding - FY16-Present)



*****\$1.56 Billion in Open Funding**

Federal Funding Overview and Changes for FY2019

FY2019 HSGP: Quick Facts

- Formal Awards issued to counties on **August 20, 2019**

Total Allocation Amounts for FY2019	
State Homeland Security Grant Program Funding (SHSP)	\$76,930,000 80% (\$61,544,000) – Local Share 20% (\$15,386,000) – State Share
Urban Area Security Initiative (UASI) – NYC Area	\$178,750,000 80% (\$143,000,000) – Local Share 20% (\$35,750,000) – State Share

- Key Programmatic Changes
 - Cyber Security as a Federal Priority – Must have Cyber IJ
 - **NEW** Requirement for Subrecipients to participate in the Nationwide Cyber Security Review (NCSR)
 - Additional Requirements for Operational Overtime
 - Continued from FY2018



Nationwide Cyber Security Review (NCSR)

General Overview

- **NEW** Requirement for all FY2019 SHSP and UASI Recipients and Sub-Recipients
 - Outlined in Information Bulletin (IB) No. 439, issued April 12, 2019
 - Condition of receiving funding
- No cost, anonymous annual self-assessment designed to measure gaps and capabilities of governments' cyber security programs
- Enables entities to benchmark and measure progress of improving cyber security posture
- Hosted by Multi-State Information Sharing and Analysis Center (MS-ISAC) – Provide Technical Assistance



Nationwide Cyber Security Review (NCSR)

Important Tips and Reminders

- CIO/CISO or most senior Cyber Staff should complete the NCSR
- Must be completed by **December 31, 2019**
- Guidance was E-Mailed via DHSES Grant Info on 9/19/19
- Informational Webinar held on 9/20/19; Next Webinar will be 11/1/19
- All Webinars will be posted on the MS-ISAC website
- For more info: <https://www.cisecurity.org/ms-isac/services/ncsr/>



Priority Preparedness Objectives

FY2019 Application Requirement – Written Certification Required

1) Active Participation in CTZ Activities (2011)

- Lead Law Enforcement Agency must attend at least 1 CTZ meeting per quarter
- Support of Operation Safeguard
- Participation in Red Team Exercises

2) Maintain a Citizen Preparedness Coordinator (2011)

- Collaborate Citizen preparedness efforts with NYS
- Citizen Corps Councils / CERT's / Citizen Preparedness kits/supplies

3) Development of Cyber Security Preparedness Efforts (2015)

- Maintain an Information Security Officer (ISO) to coordinate Cyber Security efforts with NYS

Priority Preparedness Objectives (Cont'd)

4) Law Enforcement Information-Sharing Capabilities (2011)

- a) Participate in the Field Intelligence Officer (FIO) Program
- b) Participate in the Intelligence Liaison Officer (ILO) Program

5) Emergency Planning Efforts (2011 & 2014)

- a) Develop/Maintain Comprehensive Emergency Management Plan (CEMP)
- b) Participate in Emergency Management Certification & Training (EMC&T)
- c) Maintain County HazMat Response Plan

6) Participate with the DHSES CEPA Process (2014)

- County Emergency Preparedness Assessment
- Every 3 years or as needed
- Every county has been through CEPA process twice



FY2019 EMPG: Quick Facts

Total for FY2019	
Emergency Management Performance Grant Program (EMPG)	\$15,033,121

New Requirements for FY2019

- State Level Distribution Management Plan
- Submission of Proof of Required Training Completed
 - FEMA Verification
 - Submit verification with application and new completions with quarterly reports

FY2019 HMEP: Quick Facts

Total for FY2019	
Hazardous Materials Emergency Preparedness (HMEP) Grant Program	\$457,668

Key Programmatic Change (since April 2019)

- Semi-Annual Performance Report (April and October)
 - In addition to routine quarterly report
 - Captures additional details required for reports to US DOT

SHSP Targeted Grants

SHSP Targeted Grant Programs

Non-Competitive/Competitive

Non-Competitive – \$4 Million	Competitive – Pool of \$5 Million
Bomb Squad Initiative (\$2 Million)	Critical Infrastructure Grant Program
HazMat Grant Program (\$2 Million)	Cyber Security Grant Program
	Explosive Detection Canine Team Grant Program
	Tactical Team Grant Program
	Technical Rescue/USAR Grant Program

Good News!

- FY2018 Awards issued early September
- Continue to receive positive support on these programs from our Leadership
- Anticipate Release of the FY2019 RFA's later this Fall– much earlier!

FY2019 SHSP Targeted Grant Programs

Program Expectations for FY2019

<p>Critical Infrastructure Grant Program UPDATED</p>	<p>Only Government-Owned Critical Infrastructure and Mass Gathering/Special Event sites within eligible areas (Composition of Top 7 Metropolitan Statistical Areas) are eligible to apply for funding.</p>
<p>Cyber Security Grant Program UPDATED</p>	<p>All NYS Counties and Local Governments registered with MS-ISAC are eligible; Only ONE application per jurisdiction will be accepted; Be aware of some format changes to the Application; Adjustments to scoring criteria- Increased emphasis on linkage between identified vulnerabilities and budget requests</p>
<p>Explosive Detection Canine Team Grant Program</p>	<p>Only DCJS-certified Explosive Detection Canine Teams are eligible to apply for funding. New Team projects are limited to replacing a previously certified canine asset (e.g. retirements, loss, etc.)</p>
<p>Tactical Team Grant Program UPDATED</p>	<p>Only DCJS-certified Tactical Teams are eligible to apply for funding. Those with pending applications are eligible, however certification must be acquired within the period of performance of the grant. Funding Cap changed to \$75,000 per eligible applicant.</p>
<p>Technical Rescue/USAR Grant Program</p>	<p>Only counties (including NYC) are eligible to apply. County fire coordinators will need to take an active role in the development and coordination of Tech Rescue/USAR resources in counties that apply.</p>

Grant Writing Tips

Effective Grant Writing Tips

- **Start Early!**
 - Engage your Leadership/Regional Partnership and Identify Needs Now
 - Make sure any assessments and reporting that would be required are up to date (e.g. CEPA, training records, capability assessments, etc.)
- **Planning is a Key to Success!**
 - Planning Process should happen in regular intervals throughout the year
 - Evaluate the status of your current projects, make sure you include that in your project development discussions
 - Look at feasibility– can you complete this project within the period of performance? No Extensions!
 - Denied on a competitive grant? Reach out and ask for feedback before the next RFA is released!

Effective Grant Writing Tips

- **Read and Follow Instructions, carefully**
 - Be sure to read the entire Request for Applications. Ask any questions that you may have after an initial review. We are here to help.
 - Pay close attention to the scoring criteria and how sections are weighted
 - Be aware of deadlines - Make sure you submit before the due date
- **Answer Questions Thoughtfully and Thoroughly**
 - **The Devil is in the Details** (Competitive = No Follow-Up)
 - *Reviewers do not know your jurisdiction and its risk/needs. Evaluation is based on how well you articulate your needs, and how your project supports the program objectives*
- **Develop Realistic and Reasonable Project Budgets**
 - Reviewers will evaluate and score accordingly
 - Be specific with requests



Effective Grant Writing Tips

- **Grants Management Performance History**
 - Part of the DHSES Application Scoring Process
 - Assessment of how well the grantee manages their funds
 - Reporting compliance
 - Successful award spend-down
 - Program objective compliance
- ➔ Up to TEN Points may be subtracted from the final application score
- **Successful Grant-Writing also applies to Non-Competitive Grants**
 - More Efficient Process - Quicker to Contract
 - *Prevents delays in executing a contract. Timeframes are often very tight.*

Telling Your Story

Continued Scrutiny on Grant Programs

- **Ongoing Interest in Impacts of Grant Funds**
 - POTUS, Congress, FEMA, Auditors, Media, General Public
 - Congressional scrutiny on program management (by FEMA) and spend down (by grantees)
 - All aspects of funding are scrutinized – from capability impacts to fiscal management
- **Importance of Showing the Positive Impacts of Funds**
 - “Telling Our Story”
 - Provides context to the funding and demonstrates how integral it is in keeping New York State’s first responders and communities safe
 - Gives us real-life incidents to report back to FEMA



Example of Telling Your Story



CITY OF POUGHKEEPSIE POLICE DEPARTMENT

PROGRESS REPORT: Explosive Bomb Detection K-9 "Ace"

Report by PO J. Williams, K-9 Ace Handler

Since we have received the grant funding from NYS DHSES to start our Explosive Detection Canine program we have purchased all necessary equipment and completed all the necessary training. From 2015 to this current day our K-9 team has responded to 5,404 calls for service, completed 649 Foot Patrol in high crime or terrorist targeted locations, we have responded to 101 explosive detection calls in which K-9 Ace has been utilized, assisted the department in the recovery of 15 firearms some of which were only through K9 Ace's specialized abilities, also precipitated in over 200 community events and K9 demonstrations.

Since the start of our program we have implemented a plan to explosive detection K9 sweep public areas or building prior to all large scale events the police department is tasked with planning. Some highlights we have been a part of were assisting with two presidential campaign rallies in 2016 (Donald Trump and Bernie Sanders). The department has also made our explosive detection K9 available to many other agencies through mutual aid to assist in explosive detection as well as patrol K9 calls.

During a homicide investigation K9 Ace was utilized in an attempt to locate a firearm used in commission of the crime. When K9 Ace conducted a vehicle search for the firearm, he showed a lot of interest in the front passenger seat but would not give a final response. Officer Williams interviewed the suspect and confronted him about this the suspect admitted to the firearm during the incident and eventually lead to a full confession.

Several times in 2018, after the Parkland active shooter tragedy, the department utilized detection K9 in the schools after indirect threats of a weapon in the schools.

Our explosive detection K9 has also worked in conjunction with other units to assist in the apprehension of dangerous persons most likely in possession of a firearm targeted detail in locating a firearm utilizing explosive detection K9.

I am actively looking into finding a gun detection program to assist more in the future to locate firearms which continue to plague our community.



Man arrested for possessing a stolen handgun after fleeing from police

City of Poughkeepsie Police Officer Williams and K9 Ace responded to the scene and conducted a track. The suspect was located approximately 45 minutes later, and placed in custody.

The defendant was arraigned in the Town of Pleasant Valley Court where he was remanded to the Dutchess County Jail in lieu of \$200,000 cash bail or \$400,000 bond.



Homeland Security
and Emergency Services

Contracts Updates

Grant Breakdown

Grant		Funding Source		Grant Requirements			
		State	Federal	Match	EHP	MWBE	Vendor Responsibility
Homeland Security Grant Program	SHSP/SLETPP (Including Targeted Grant Programs)		X		X		X
	Urban Area Security Initiative		X		X		X
	Operation Stonegarden		X		X		X
	SPIDER/Red Team		X				
Emergency Management Performance Grant Program (EMPG)			X	X	X		X
Hazardous Materials Emergency Preparedness (HMEP)			X	X			
Statewide Interoperable Communications Grant Program (SICG)		X				X	X
Public Safety Answering Points Grant Program (PSAP)		X				X	X

-Vendor Responsibility required for any Consultant Services *budget line* over \$100,000.



Contract Amendments

- DHSES has processed 545 amendments on 415 contracts since October 2018!
 - Proper planning and timely spend down of grant funds should alleviate the need for most amendments
- Any contract changes need to be submitted for approval PRIOR to procurement of goods or services
- All amendment requests must be in writing to your Contract Representative

Reporting

- Concurrent Spending of all open grants
- Timely Vouchering
 - Submit for reimbursement on a quarterly basis
- Quarterly Progress Reports
 - Submit quarterly progress reports on time and with sufficient details



Sole Source Procurement

- Must receive PRIOR written approval from DHSES before entering into a non-competitive procurement
- Sole source approvals are required/reviewed per CONTRACT, not per PROJECT
- Some common sole source procurement requests include:
 - Item/service is unique
 - Proprietary service/maintenance for item

Trainings/Conferences/Travel

- Trainings/Conferences/Out of State Travel
 - All requests must be submitted and approved PRIOR to attendance and/or travel
 - For travel expenses, you must follow the Federal, State or Local travel policy, whichever is most restrictive, to ensure that grant funds are being used cost effectively

Fiscal Monitoring – Overview, Guidelines and Reminders

Fiscal Monitoring Overview

Auditing vs. Monitoring:

Auditing:

This is a periodic financial / programmatic review by an outside / independent body such as NYS Office of the State Comptroller and Office of the Inspector General to ensure compliance with federal guidelines.

Monitoring:

DHSES monitoring is an ongoing review of our subrecipients projects and records throughout the performance period of the awards to ensure compliance with federal regulations and the Contract.

Fiscal Monitoring Overview

Monitoring efforts include the following:

- Provide on-going fiscal oversight and monitoring of DHSES Grants
- Obtain a reasonable assurance that subrecipients are complying with the provisions of the grant programs and contract requirements
- Inform subrecipients of fiscal compliance requirements
- Provide guidance and technical assistance to subrecipients
- Help ensure timely expenditure of grant funds
- Assist subrecipients in preparing for external audits
 - State (OSC)
 - Federal (DHS-IG, FEMA)



Fiscal Monitoring Guidelines

Procurement:

Follow regulations that are most restrictive, either:

- Municipality or County Procurement Guidelines
- General Municipal Law Article 5A
- DHSES Contract and Appendices
- 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards)

Failure to follow the proper procurement procedures can result in the disallowance of costs incurred

Fiscal Monitoring Guidelines

Procurement – Competitive Bidding:

When procuring items and/or services using the competitive bidding process, the goal is to receive an adequate number of bids at a competitive price. In order to achieve this goal the invitation for bids can be solicited from an adequate number of sources once the Request for Proposal (RFP) has been advertised. Do not contact vendors before a RFP has been fairly advertised.

When soliciting competitive bids or offers, you can utilize more than one form of media to attract qualified bidders or offerors. In addition to using your local newspaper, you may advertise in other newspapers, trade journals, and notices can be posted on your website in order to reach the highest number capable bidders.

Fiscal Monitoring Guidelines

Procurement – Competitive Bidding Continued:

Evaluation criteria and scoring methodology must be established before the bids are opened and be used as the basis for awarding the contract.

Equal provision of information to all interested parties.

You may award the contract to the lowest responsible bidder or on the basis of best value, which may include the following elements: cost, experience/qualifications of vendor, references, can conform with projected work schedule, and proposal meets RFP requirements.

Fiscal Monitoring Guidelines

Procurement - Single/Sole Source:

- Non-competitive procurement requires prior written approval from DHSES.
- Subrecipients are required to submit the “Justification For Non-Competitive Procurement (Sole Source Justification)” form.
- Must provide documentation that supports reasonableness of price.
- DHSES prior written approval needs to be maintained in the grants and procurement files.

Fiscal Monitoring Guidelines

Procurement – State Contract Purchasing:

Under the New York State Finance Law, NYS Office of General Services (OGS) awards contracts on the basis of lowest price and/or on the basis of best value, to a responsive and responsible offer.

NYS OGS contracts will:

- Reduce or eliminate the time required to research specifications
- Enhance and simplify the purchasing process
- Minimize the time required to identify responsible vendors
- Eliminate advertising expenses
- Reduce administrative burden



Fiscal Monitoring Guidelines

Procurement – Documentation

- **Document reasonableness of price**
 - Record phone quotes, vendor quotes, internet search
- **Procurement documents**
 - Competitive Bid documents
 - NYS OGS/GSA contracts
- **Purchasing documents**
 - Requisition, purchase order, contract, vendor invoice
- **Receiving documents**
 - Packing slip/receiving report
 - Date received, description of goods received, who received
- **Payment documents**
 - Voucher, cancelled check, electronic funds transfer [EFT], credit card statements



Fiscal Monitoring Reminders

- Follow regulations that are the most restrictive
- When procuring items and/or services using the competitive bidding process ensure the RFP has been fairly advertised
- Must document reasonableness of price
- Non-competitive procurements - require prior written approval
- OGS contract – if you use a NYS OGS contract you must save a copy of it with your grant file for auditing and monitoring purposes.
- Equipment – maintain inventory/property records with required elements and update as necessary
- Detailed Itemization Form's - ensure accurate reporting of dates (date ordered, date received, dates of services)

Contact

GPA Contact Information

- **Grants Program Administration (GPA)**
NYS Division of Homeland Security and Emergency Services
Grant Program Administration
State Office Campus, Bldg. 7A Suite 610
1220 Washington Avenue
Albany, NY 12242
 - Grants Hot Line: 1-866-837-9133
 - E-Mail: Grant.Info@dhSES.ny.gov
 - Website: <http://www.dhSES.ny.gov/grants/>



**Division of Minority
and Women's
Business Development**

Empire State Development

Empire State Development

As the New York State's chief economic development agency, ESD utilizes a combination of tools from efficient use of loans, grants, tax credits, real estate development, marketing to strive towards its mission.

ESD Mission:

- To promote a vigorous and growing state economy
- Encourage business investment and job creation
- Support diverse, prosperous local economies across New York State

The Division's Mission

- Promote equality of economic opportunities for MWBEs.
- Eliminate barriers to their participation in state contracts.
- Provide information and resources that increase access to opportunities for MWBEs throughout the State.
- Promotes & Assists MWBEs through outreach, training, technical assistance and support.



**Division of Minority
and Women's
Business Development**

Article 15-A of the Executive Law

- ✓ Signed into law on July 19, 1988;
- ✓ Authorized the creation of an Office (now Division) of Minority and Women's Business Development;
- ✓ Aims to promote employment and business opportunities on state contracts for minorities and women;
- ✓ Under this statute, state agencies are charged with establishing employment and business participation goals for minorities and women.

Source:

<https://esd.ny.gov/mwbe/programmandate.html>



How The DMWBD Helps

- Our Agency Services works closely with every Agency and Authority to support their MWBE program
- Agency Services provides guidance & training to Agency staff
- Business Development can assist in searches and navigating the Directory of NYS Certified MWBE firms
- Business Development can send targeted outreach notices to targeted MWBE firms

Tips for Success

- ✓ Plan Ahead
- ✓ Consider sub-contractable opportunities
- ✓ Avoid procrastination/waiting until it's too late
- ✓ Work with the Agency Staff
- ✓ Keep great records/documentation

For more information go to <https://esd.ny.gov/doing-business-ny/mwbe>

(At the bottom right, under “Quick Links”, has the Article 15-A and the Rules and Regs)

Contact

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**Division of Minority
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