



**Homeland Security
and Emergency Services**

FY2022 Federal Nonprofit Security Grant Program (NSGP)

December 27, 2022

Agenda

- I. Contracting Requirements
- II. Allowable Costs
- III. Investment Modifications – Changes in Scope or Objective
- IV. Procurement: Fair and Open Competition
- V. Equipment Management
- VI. Internal Control and Grant Records
- VII. Monitoring
- VIII. Single Audit Requirement
- IX. Reimbursement and Fiscal Reporting
- X. Quarterly Progress Reports
- XI. Key Points
- XII. Questions



Contracting Requirements

- NYS DHSES will use the E-Grants System to generate and manage the contracting process.
- You must always adhere to the appendices as outlined in the contract.
- All contract procurement policies must be followed, or reimbursements may be rejected.
- You cannot begin your projects until you have an approved EHP **and** an executed contract with NYS DHSES.
 - As a reminder, EHP documents and photographs are due no later than **January 6, 2023**. If you have any questions, please reach out to your Grants Representative as soon as possible.
- All contracts are reimbursement based.
- Your contract with New York State will have the following contract dates:
September 1st, 2022 to August 31st, 2025
- Only costs incurred within that timeframe will be eligible for reimbursement.
- Any changes to the scope of the work or budgeted items require prior approval from DHSES and/or FEMA.



FY2022 Federal NSGP Grantee Orientation

Allowable Costs

- Equipment – Allowable costs are focused on target hardening and physical security enhancements. Funding can be used for the acquisition and installation of security equipment on real property owned or leased by the organizations specifically in prevention of and/or protection against the risk of a terrorist attack.
- Management & Administration (M&A) - Allowable M&A costs are limited to: Hiring of full-time or part-time staff or contractors/consultants responsible for activities relating to the management and administration of NSGP funds or meeting-related expenses directly related to M&A of NSGP funds.
- Planning - Funding may be used for security or emergency planning expenses and the materials required to conduct planning activities.
- Exercises - NSGP funding may be used for security related exercise costs related to planning, meeting space, and other meeting costs; facilitations costs; and/or materials, supplies and documentation.
- Contracted Security - Hiring of contracted security personnel is allowed under this program. Grantees may not use NSGP funding to hire full or part-time employees that will be placed on a nonprofit's payroll.
- 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. Training also requires prior approval from DHSES.



FY2022 Federal NSGP Grantee Orientation

Allowable Costs Continued

Training

Request for Training Approval Nonprofit Security Grant Program

Requestor Information	
Legal Name of Organization:	
Facility Address:	
Point of Contact:	Title:
Phone:	Email:
Grant Details	
Project ID/Contract Number:	Grant Year and Program: <input type="text"/> NSGP
Training Requirements	
<ul style="list-style-type: none"> If you have security/terrorism training in your contract, you must get the training curriculum approved by DHSES before you conduct the training session. DHSES only approves the curriculum, not the vendor. Make sure you follow all of the procurement procedures for training as you would for equipment purchases. Nonprofit organization staff may use NSGP funds to attend security-related training courses and programs within the United States. Allowable training-related costs under the NSGP are limited to expenses 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 cybersecurity, 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 address a specific threat and/or vulnerability, as identified in the nonprofit organization's IJ. Training should provide the opportunity to evaluate and validate skills learned, as well as to identify any gaps in these skills. 	
Course Information	
Please also provide detailed Curriculum, Agenda, Manual, etc.	
Title of Training:	
Location of Training:	
Dates and Schedule of Training:	
Subject:	
Description:	
Course Topics:	
Course Objectives:	
Type of Personnel to be trained:	Number of Personnel to be trained:
Training Costs:	Procurement Method Used:
Curriculum, Agenda, or Manual Provided?	

If you have security/terrorism training in your contract you must get the training curriculum approved by DHSES **before** you conduct the training session. DHSES approves the curriculum, not the vendor. Make sure you follow all procurement procedures for training as you would for equipment purchases. Contact your Grants Representative to request training approval.

The 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.



FY2022 Federal NSGP Grantee Orientation

Allowable Costs Continued

Telecommunication/Physical Security Surveillance Equipment Restrictions

Effective August 13, 2020, FEMA recipients, subrecipients and their contractors and subcontractors are prohibited to obligate or expend federal funds on certain telecommunications products and contracting with certain entities for national security reasons.

FEMA funds cannot be used to:

- Procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services;
- Enter into, extend, or renew a contract to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services;
- Enter into, extend, or renew contracts with entities that use covered telecommunications equipment or services.

Covered telecommunications equipment or services means:

- Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities);
- For the purpose of public safety, security of Government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities);
- Telecommunications or video surveillance services provided by such entities or using such equipment; or
- Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the People's Republic of China.



FY2022 Federal NSGP Grantee Orientation

Investment Modifications – Changes in Scope or Objective

- Grantees may not proceed with implementing any of the requested changes until they have received written approval and an executed contract amendment.
- If you feel changes are necessary, please contact your Grants Representative to discuss.
- Any changes to the scope of the work or budgeted items require prior approval from DHSES and/or FEMA. No After the Fact requests will be accepted.
- Any changes to the scope of the work or items in the budget must be identified as a need/vulnerability in the assessment uploaded at the time of the application.
- Any request for changes must fall within the Permissible Costs of the grant program.
- The following information should be submitted via email to your Grants Representative on the organization's letterhead:
 - An explanation why the change of scope or objective is necessary.
 - A description of the proposed scope or objective change, including the approved projects from the original IJ, the funds and relative scope or objective significance allocated to those projects, the proposed changes, and any resulting reallocations as a result of the change of scope or objective.
 - The request must also address whether the proposed changes will impact its ability to complete the project within the award's period of performance.



Procurement: Fair and Open Competition

Failure to follow the proper procurement policies as outlined in the contract will result in the reimbursement being rejected or costs being disallowed.



FY2022 Federal NSGP Grantee Orientation

Procurement: Fair and Open Competition Continued**From Appendix A-1 of your contract Section IV. Additional Contractor Obligations, Representations, and Warranties S. Additional Terms (7)(f).**

- i. If the Grantee 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 Grantee 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 Grantee 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 Grantee 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 Grantee 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 (can be an e-mail that is retained until the pre-determined opening date) opened at one time before a committee who will certify the process; establishment of the methodology for evaluating bids before the bids are opened; and maintenance of a record of competitive procurement process.

A Grantee who proposes to purchase goods or services from a particular vendor without competitive bidding must obtain the prior written approval from DHSES. The request for approval must be in writing and set forth, at a minimum, a detailed justification for selection and the basis upon which the price was determined to be reasonable.



Procurement: Fair and Open Competition Continued

- Procurement policies and the requirements outlined in Appendix A-1 of your Contract must be followed to ensure all procurements are made in a fair and open manner.
- You should not engage any vendors until you have an executed contract. However, you can start researching vendors and products.
- Depending on specific costs, multiple quotes shall be obtained to ensure best value.
- Do not break projects (budget line in contract) into smaller pieces to circumvent the procurement rules.
- When procuring items and/or services using the competitive bidding process the goal is to receive at least three written bids of a high-quality project completed at a fair price. 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 an RFP has been fairly advertised.
- Vendor evaluation - all bids received should be evaluated.



Procurement: Fair and Open Competition Continued

Avoiding Conflicts of Interest

In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements. FEMA considers these actions to be an organizational conflict of interest. This applies to contractors that help an entity develop its grant application, project plans, or project budget.

Example: Whoever completes your risk assessment cannot participate in the bidding process.

Using state or local **geographic preferences** in evaluating bids or proposals **is prohibited!**

Additionally, the following situations are considered to be restrictive of competition.

These situations must be avoided:

- Requiring unnecessary experience
- Using brand names
- Allowing non-competitive pricing practices
- Using only contractors that are already on retainer
- Allowing organizational conflicts of interest
- Exhibiting arbitrary actions during the procurement process



Procurement: Fair and Open Competition Continued

Example/Template for Advertisement

“A nonprofit organization in ____ (your City) is seeking sealed bids for the sale and installation of security related enhancements. The project includes: (in general, list the equipment you wish to have installed, i.e.) installation of Closed-Circuit Television equipment. The selection criteria will be based on (include your selection criteria, i.e.) knowledge of surveillance and security, adherence to projected work schedule, prior experience, references, and cost. Specifications and bid requirements can be obtained by contacting us at _____@gmail.com.” (*Use a generic e-mail address so you don’t attract unwanted attention).

“All interested firms will be required to sign for the proposal documents and provide a primary contact, telephone, and email address.

Bids will be accepted until ____ on _____ and work is to commence by _____202_ and be completed by _____202_.” (*Your specified deadlines must be reasonable).



Procurement: Fair and Open Competition Continued

What is an Appropriate Venue and Reasonable Period of Time to Advertise?

Venue: when soliciting competitive bids or offers, you are encouraged to 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 and trade journals, and notices can be posted online.

Reasonable period of time: a minimum of 3 days is recommended as the intent of advertising is to promote open, fair advertisement of the opportunity to provide services.

- ✓ If a newspaper comes out once a week, that meets the 3-day recommendation.

What is not appropriate?

- Advertising Only:**
- to special interest groups
 - in religious periodicals
 - in another language
 - through internally generated mailings and publications



FY2022 Federal NSGP Grantee Orientation

Procurement: Fair and Open Competition Continued

Evaluating the Bids

- Awards must be made in accordance with a pre-determined process - evaluation criteria and scoring methodology must be established **before** the bids are opened.
- The same information must be provided 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
 - Ability to conform with projected work schedule
 - Etc.
- Scoring methodology and bid evaluations must be in writing.
- Bid costs must be detailed item by item (not a lump sum amount).



Procurement: Fair and Open Competition Continued

State Contract Purchasing

- The 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.
- If you use a NYS OGS contract, you should demonstrate price reasonableness and ensure the best value by obtaining at a minimum three quotes/bids.
- You must save a copy of a NYS OGS contract with your grant file for auditing and monitoring purposes. You must also ensure that copies of the OGS Award Notification, OGS vendor listing, and the price list of the vendor selected are also saved.

NYS OGS contracts may:

- 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
- To find out if you qualify to purchase from NYS OGS, go to: <https://ogs.ny.gov/procurement/ogs-procurement-services-centralized-contract-eligibility-application> and complete the form. You can also visit their website at: <https://ogs.ny.gov/procurement/ogs-centralized-contracts>.



Procurement: Fair and Open Competition Continued

Consultant Agreements

If you are hiring a consultant, you must enter into a written agreement that should contain, at a minimum, the following information:

- The date the agreement was signed by both parties.
- Beginning and end date of the agreement.
- A detailed scope of the work to be done.
- Hourly rates (if applicable).
- Invoicing / billing information:
 - period being billed
 - details of work done – time and effort reports
 - hours being charged, etc.



Equipment Management

Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part with grant funds, until disposition takes place, at a minimum, must meet the following requirements:

Property records : 2 CFR Part 200 §200.313 (d)(1) requires subrecipients to maintain equipment property records.

Elements of a property record:

1. Description of the property;
2. Serial number or other identification number;
3. The source of property (specify each funding source used to purchase equipment, including year, ex. UASI 2020);
4. Who holds title (ownership, ex. Organization/Agency or specific implementing agency);
5. The acquisition date;
6. Cost of property;
7. Percentage of Federal participation in the property (% paid from each specific grant);
8. Location of Equipment;
9. Use and condition of the property (ex. new, good, poor)
10. Disposition Data:
 1. Date of disposition (disposed or sold)
 2. Sale price of property
11. Physical inventory completion date.



Equipment Management Continued

2 CFR 200.1 Definitions. Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the "non-Federal entity" for financial statement purposes, or \$5,000. See also the definitions of capital assets, computing devices, general purpose equipment, information technology systems, special purpose equipment, and supplies in this section.

2 CFR 200.313(d)(1) requires that subrecipients maintain property records for equipment that includes: a description of the property, a serial number or other identification number, the source of funding for the property, who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

Additionally, 2 CFR 200.313(d)(2) requires a physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.

* non-Federal entity - state, local government, Indian Tribe, institution of higher education (IHE), or nonprofit organization.

Definitions for Clarification Purposes:

Equipment - tangible, personal property having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established or \$5,000. A subrecipient may use its own definition of equipment provided that such definition would at least include all equipment defined above.

- (1) Description of the Property.
- (2) Serial Number or Identification Number - can be unique inventory tag number assigned by your organization.
- (3) The Source of Funding for the Property - specify each funding source used to purchase equipment, including year of sale of SHSP 2021 or specify DHSES contract number (C883110).
- (4) Who Holds Title - Upon the non-Federal entity gaining possession of equipment acquired under a Federal award, the title is conveyed to the non-Federal entity (ABC County, Town, Village, Congregation).
- (5) Acquisition Date - typically the date the item is recorded as being received.
- (6) Cost of the Property - purchase price.
- (7) Percentage of Federal Participation in the Property - % paid from each specific funding source used to purchase the item. Examples: 80% SHSP 2021/20% SLETPP 2021 or 50% EMPGP 2021/50% Local revenue, or 100% SHSP 2021.
- (8) Location of Equipment.
- (9) Use and Condition of the Property - for example new, good, poor...
- (10) Disposition Data: date the property was disposed of or sold, sale price/proceeds from sale and any other relevant disposition information.
- (11) Physical Inventory Completion Date - conduct a physical inventory and document at least once every two years.

[illegible]

Equipment Management Continued

Additional Requirements

- **A physical inventory** of the property must be taken, and the results reconciled with the property records at least once every two years.
- **A control system** must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft needs to be reported to DHSES as soon as possible.
- **Adequate maintenance procedures** must be developed to keep the property in good condition.



Internal Control and Grant Records

As per Appendix A-1 of the Contract, your organization will need to establish and maintain, in paper or electronic form, internal grant procedures, complete and accurate books, documents, receipts, accounts, and other evidence directly related to its performance under the Contract (collectively, Records). Such Records may include, but are not limited to the following:

- Fiscal Cost Reports (FCR's) and Detailed Itemization Forms (DIF's).
- Procurement procedures and files (competitive bid documentation) - notice of invitation to bid, copies of advertisements, bidders list, methodology to score bids (selection process), proposals from bidders, notice of selection of winning bid, record of phone quotes or written vendor quotes, contract, purchase orders, and cost/price analysis. For NYS OGS contract – OGS Award Notification, OGS vendor listing, and price list of the vendor selected.
- Consultant agreement and time and effort reports.
- Receiving or packing slips and invoices (to support date ordered/received on the DIF).
- Billing information and payments (invoices and copies of cancelled checks/cleared EFTs).
- Equipment property record system report by grant.
- Schematics/blueprints for alterations and renovations (if applicable).



Monitoring

Monitoring

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

vs.

Auditing

Auditing is a periodic financial/programmatic review by an outside/independent body, such as NYS Office of the State Comptroller, pertinent state and federal agencies, and other designated entities to ensure compliance with federal and state guidelines.



Monitoring Continued

Common Observations from DHSES Grant Program Administration Monitoring Visits:

Internal Control Issues:

- Lack of written internal grant management procedures.
- Lack of documentation to support Purchase Order (PO) Dates / Received Dates on Detailed Itemization Form (DIF).
- Missing cancelled checks or cleared Electronic Funds Transfer (EFTs).
- Equipment not installed and operational after the award was closed.
- Inadequate information and insufficient details on invoices.



Monitoring Continued

Common Observations from DHSES Grant Program Administration Monitoring Visits:

Procurement:

- RFP not advertised (when procuring items and/or services using the competitive bidding process the RFP must be advertised).
- One bid received in response to newspaper ad, but no other vendors were solicited/contacted to determine price reasonableness (at least three bids needed).
- Bids / proposals received in response to an ad that was posted for a previous grant, and now used for current award (a new ad should have been posted for the new award).
- Vendor evaluation - four bids were received, but only two bids were considered for evaluation (all bids should have been evaluated).



Single Audit Requirement

2 CFR section 200.501 (b) - Single Audit Requirement / Certification Form

- A sub-recipient which expends \$750,000 or more during its fiscal year in Federal awards must have a single audit conducted in accordance with §200.514 except when it elects to have a program-specific audit conducted. Further, 2 CFR §200.512 requires the audit be submitted within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period.
- Depending on the dollar amount of all federal funds expended during your fiscal year, either a single audit report or a single audit certification form claiming exemption must be submitted to DHSES. Reminder letters (which will include the single audit certification form) will periodically be sent from the DHSES Grants Program Administration Unit to remind subrecipients that either a single audit report or certification form claiming exemption may be due.
- A signed and dated copy of the single audit certification form may be submitted by mail, e-mail, or fax. This is a required action for any organization receiving federal funds.
- The Single Audit Certification Form can be found at: <https://www.dhses.ny.gov/single-audit-certification-form>.
- Questions on the form should be directed to fmu@dhses.ny.gov.



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Single Audit Requirement Continued

NEW YORK STATE | **Homeland Security and Emergency Services**
 ANDREW M. CUOMO Governor | PATRICK A. MURPHY Commissioner

Single Audit Certification Form

In accordance with 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles and Audit Requirements, found in §200.501(a), audit requirements for Federal awards, non-Federal entities that expend \$750,000 or more during their fiscal year in Federal awards from all funding sources, must agree to have a single audit conducted in accordance with §200.514 Scope of audit. Further §200.512 requires that the final report for such audit be completed within nine months of the end of the non-federal entity's fiscal year.

One copy of such audit report or certification of exemption by the non-federal entity must be submitted to DHSES within nine (9) months of the end of the entity's fiscal year.

(Name of your municipality/organization) Fiscal Year Ending: MM/DD/YY
 (County of residence municipality/organization) (enter applicable fiscal year end)

Please (1) check the appropriate box (2) complete/sign below, and (3) return this certification to the address below with the Single Audit Report, as applicable.

☐ We are not subject to the audit requirements because our federal awards expended from all funding sources are less than the federal threshold of \$750,000.

☐ We have had our Single Audit for the above noted fiscal year completed and a copy of the audit report is enclosed.

Print Name: Title: Signature: Date: Phone: E-Mail:

When possible, we encourage all correspondence and audit reports to be sent electronically.

Please Return to: New York State
 Division of Homeland Security and Emergency Services
 Fiscal Monitoring Unit
 State Campus, Building 7A
 1220 Washington Avenue
 Albany, NY 12242

Questions: Phone: (518) 402-2123 or Email: FMU@dhses.ny.gov

1220 Washington Ave, Bldg. 7A | (518) 343-5000 | dhses.ny.gov

Single Audit Certification Form:

- Should be filled out by a fiscal officer or a person with sufficient knowledge about your organization's fiscal year and spending levels.
- Fill out and return this form. Select the appropriate box to declare that your organization is either subject to or exempt from the Single Audit Requirement.



Homeland Security and Emergency Services

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Single Audit Requirement Continued



PATRICK A. MURPHY
Acting Commissioner

SINGLE AUDIT REMINDER NOTICE

Dear Funding Recipient:

To assist with fiscal monitoring and in accordance with federal requirements, a subrecipient which expends \$750,000 or more of federal funds from all sources during its fiscal year, must have an independent audit of such federal funds conducted in accordance with 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart F – Audit Requirements. Further, 2 CFR §200.512 requires that the final report for such audit be completed within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period.

Additionally, per the New York State Budget Policy and Reporting Manual Item I-300, State agencies that provide funds to sub-recipients pursuant to Federal Audit requirements must obtain copies of the sub-recipient's Single Audit Reports and determine whether any audit findings affecting its programs are significant and warrant follow-up. Therefore, sub-recipients should provide one copy of such audit report to DHSES within nine months of the end of their fiscal year.

A review of our file indicates that your organization or municipality will need to submit the attached Single Audit Certification Form or, if applicable, a copy of your organization's/municipality's Single Audit Report for the fiscal period **01/01/2018 – 12/31/2018**. Please complete and return the attached certification form or a copy of your entity's completed Single Audit Report, if applicable, for the fiscal period **01/01/2018 – 12/31/2018**.

Please note that this reminder may have been sent to multiple recipients within your organization. Therefore please coordinate your response as only one audit report and Single Audit Certification Form is necessary from each subrecipient.

- This audit requirement applies to the subrecipient (example: county, city, town...) and not the implementing agency.
- Subrecipients are subject to the Single Audit requirement if they expend \$750,000 or more in federal funding from **ALL FEDERAL SOURCES** during their fiscal period. Therefore, this does not only apply to the amount of expended DHSES funds.
- Few, if any, counties are exempt from this audit requirement. If your county or municipality is exempt, the Single Audit Certification Form that is attached should be completed by checking exempt and indicating which fiscal year/period (example: 4/1/15-3/31/16) the exemption is applicable to.

It is recommended that you share this request with your municipality's/entity's fiscal department (example: county, city or town Treasurer, Comptroller, or Finance Office) and request that DHSES be sent a copy of the Single Audit Report or certification of exemption for fiscal year end 12/31/2018.

Additionally, sub-recipients should continue to submit a Single Audit Certification Form or a copy of their Single Audit Report (if applicable) for every fiscal year that includes DHSES funded expenditures.

Please return the Single Audit Certification Form or Single Audit Report to:
NYS Division of Homeland Security and Emergency Services
Fiscal Monitoring Unit
State Campus, Building 7A
1220 Washington Avenue
Albany, NY 12242

Faxed copies can be sent to: (518) 485-0146, with Attention to the FMU.

Electronic copies or a link to the report or form is acceptable and sent to*: FMU@dhSES.ny.gov

*An email response submitted to FMU@dhSES.ny.gov which includes your entity's name, states your entity is exempt, the fiscal period the exemption is applicable, your name and position in the organization, is acceptable as well.

A response is required no later than **9/30/2019**. If you have any questions regarding this request or feel you received this notice in error, please contact the Fiscal Monitoring Unit at (518) 402-2123 or email at FMU@dhSES.ny.gov.

Thank you for your anticipated cooperation.

Single Audit Reminder Notice:

- Be sure to provide a current email address, so it reaches the right person on time.



Homeland Security
and Emergency Services

Reimbursement and Fiscal Reporting

Electronic Payment- Statewide Financial System

As a condition of your contract, you must be signed up for electronic payment with the NYS Office of the Comptroller.

Signing up for electronic payment is done online, through the NYS Office of the State Comptroller Statewide Financial System's Vendor Portal. The link to sign into the portal is provided here: [Vendor Self-Service Portal](#). Select the "Enroll in e-Payments (Direct Deposit)" link and follow the prompts to complete your enrollment.

Don't have an account?

[Enroll in the Vendor Self-Service Portal](#)

Questions or help should be directed to the NYS Office of the State Comptroller Help Desk:

Telephone: 855-233-8363 or 518-457-7717

Email: HelpDesk@sfs.ny.gov



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Reimbursement and Fiscal Reporting Continued

- Remember, this is a reimbursement-based contract. You must first outlay your funds prior to seeking reimbursement for your expenses.
- Down payments, as a stand-alone item, are not reimbursable UNTIL the work for which the down payment was made is completed.
- Reimbursement paperwork can be sent to your Grants Representative as each individual project has been completed and paid for.
- You can download a copy of all the necessary forms at: <https://www.dhses.ny.gov/grant-reporting-forms>.
- There are three forms that MUST be submitted every time you seek reimbursement:
 - (1) State Aid Voucher;
 - (2) Fiscal Cost Report (FCR);
 - (3) Detailed Itemization of Non-Personal Service Expenditures (DIF) -either “Equipment” or other appropriate form.
- Invoices, Consultant Agreements, and proof of payments (ex: cancelled checks, or EFT verification) are also required, and need to be submitted with the forms above.
- All forms must be signed and emailed to your Grants Representative.



FY2022 Federal NSGP Grantee Orientation

Reimbursement and Fiscal Reporting Continued

AC-1171 (Rev. 10/96) State of **YORK** **STATE AID VOUCHER** Voucher No

1 Originating Agency NYS Office of Homeland Security		Orig. Agency Code 91077		Interest Eligible (Y/N) N	
Payment Date (MM/DD/YY)		OSC Use Only		Liability Date (MM/DD/YY)	
2 Payee ID 13-123456	Additional 000	Zip Code 00001	Route	Payee Amount	MIR Date (MM/DD/YY)
4 Payee Name (Limit to 30 spaces) ABC Organization			IRS Code	IRS Amount	
Payee Name (Limit to 30 spaces)			Stat Type	Statistic	Indicator-Dep Indicator-Statewide
Address (Limit to 30 spaces) 123 Main Street			5. Ref/Inv. No. (Limit to 20 spaces) Homeland Security Gr		
Address (Limit to 30 spaces)			Ref/Inv. Date (MM) (DD) (YY)		
City (Limit to 20 spaces) Anywhere		State (Limit to 2 spaces) NY	Zip Code 00001		
Date Paid	Check or Voucher No.	Description of Charges (if Personal Service, show name, title, period covered)			Amount
		Expenses incurred per Contract # C123XXX			\$50,000.00
State Aid Program or Applicable Statute:					TOTAL
					\$50,000.00
Payee Certification: I certify that the above expenditures have been made in accordance with the provisions of the Applicable Statute: that the claim is just and correct; that no part thereof has been paid except as stated; that the balance is actually due and owing; and that taxes which the State is exempt are excluded.					Less Receipts
Signature in Ink _____ Date _____					Net
Title _____					State
Name of Organization _____					% Aid Claimed
FOR STATE AGENCY USE ONLY STATE COMPTROLLER'S PRE-AUDIT					
Merchandise Received		I certify that this claim is correct and just, and payment is approved			State Aid
Date		By			Verified
Page No.		Date			Certified For Payment of State Aid Amount By
By					Audited
Expenditure				Liquidation	
Dept.	Cost Center	Variable	Year	Object	Accum Dept. Statewide
					Amount
					Orig. Agency
					PO/Contract
					Line
					F/P

Employee Identification Number

Your organization's name and address

Put this PHRASE and insert your contract number

Signature of fiscal officer, organization name and address

Notation you would like put in memo line of reimbursement check

Dollar amount you are requesting for reimbursement



Homeland Security and Emergency Services

(11/16) **FISCAL COST REPORT**

Submit to: Division of Homeland Security and Emergency Services State Campus - Building 7A 1220 Washington Ave. Room 416 Albany, NY 12242	1. Grantee: ABC Organization		2. Contract No: C123456	
	3. Implementing Agency: ABC Organization		4. FCR #: 1 Final Report: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
	5. DHSES No: WM17123456		6. Program Title: UASI Nonprofit Security Grant	
	7. Contract Period: 9/1/17 - 8/31/2020		8. Contract Amount: \$75,000	
	9. Report Period: 1/1/18 - 3/31/18		10. Report Date: 4/4/2018	

11. SUMMARY SCHEDULE

CATEGORY	A. Approved Project Budget		B. Previous Cumulative Expenditures		C. Expenditures for this Reporting Period		D. Current Cumulative Expenditures	
	DHSES	MATCH	DHSES	MATCH	DHSES	MATCH	DHSES	MATCH
A. PERSONNEL	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
B. FRINGE BENEFITS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C. CONSULTANTS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
D. EQUIPMENT	\$75,000.00	\$0.00	\$0.00	\$0.00	\$50,000.00	\$0.00	\$50,000.00	\$0.00
E. SUPPLIES	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
F. TRAVEL	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
G. RENT	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
H. ALT & RENOVATIONS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
I ALL OTHER	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
TOTAL	\$75,000.00	\$0.00	\$0.00	\$0.00	\$50,000.00	\$0.00	\$50,000.00	\$0.00

12. CASH REQUEST

A. Advance Requested	\$0.00	Certification I certify that this report, schedule, and the expenses for which payment is requested are true, correct, and complete and that: 1) the goods, services and costs listed are necessary, proper and are to be used solely for the purpose specified in the contract for this project and; 2) these goods, services and costs are not duplicative of expenditures claimed on any other grants or other sources of available funding. All I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and that expenditures, documents and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, subjects me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. See 18 U.S.C. Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).
B. Expenditures for this Reporting Period (Total of Column C above)	\$50,000.00	
C. Cash requested from DHSES (A + B) (Voucher Amount)	\$50,000.00	
D. Voucher Attached	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

13. Interest Earned - Advanced Funds

	\$0.00
--	--------

DHSES USE ONLY

FCR APPROVED BY PROGRAM REPRESENTATIVE: _____ (Signature) _____ (Date)

DHSES FISCAL OFFICE: ☐ Approved ☐ Rejected _____ (Signature) _____ (Date)

Quarterly report period for this report

Column A: Approved project budget

Column B: Sum of cumulative expenditures from previous periods

Total Expenditures for this reporting period (total of Column C)

Total amount for reimbursement (Matches Standard Voucher amount)

Sequential # of this report

Date report is being submitted to DHSES

Column C: Current reporting period expenditures

Column D: Total of Column B (cumulative) and Column C (current)

Needs to be signed/dated by Grantee and Fiscal Officer



Homeland Security
and Emergency Services

All fields must be completed in order to ensure prompt payment.

The Date Ordered and Date Received MUST be within the contract period and must be reflected on the form.

The amount listed at the bottom, under Total, is the same amount that should be reflected on the FCR and Voucher.

NYS Division of Homeland Security and Emergency Services
Detailed Itemization of Non-Personal Service Expenditures
Equipment

1. Grantee Name:		4. Corresponding FCR Report #:	
2. Implementing Agency:		5. Contract Number:	
3. Report Period: To:		7. DHSES Number:	
5. Contract Period: To:			

This form is used to certify the expenditures claimed for Equipment. The equipment charged to the grant must be specifically listed in the equipment category per Appendix B of the grant contract. All Equipment expenses must have an appropriate and reasonable basis for allocating the expenses to this project.

Contract Budget Line	Items Purchased (per approved budget)	Quantity	Date Ordered	Date Received	Serial No.	Check No.	Payee	Amount Charged to:		NYS MWBE Certification Number (if applicable)	Procurement Method (Choose the applicable procurement method from the dropdown list)
								Federal/State Amount	Match Amount		
										MBE	
										WBE	
										MBE	
										WBE	
										MBE	
										WBE	
										MBE	
										WBE	
										MBE	
										WBE	
										MBE	
										WBE	
* Total								\$ 0.00	\$ 0.00		

*The totals should be carried forward to Category D of the Fiscal Cost Report Column C.

Certification: I certify that this report, schedule, and the expenses for which payment is requested are correct, and complete and were made in accordance with the appropriate Federal and State Rules and Regulations governing the pertinent grants and that: 1) the goods, services and costs listed are necessary for and are to be used solely for the purpose specified in the contract for this project and; 2) these costs being reimbursed are not duplicative of expenditures claimed on any other grants or other sources of available funding. Also, I certify to the best of my knowledge that the report is true, complete and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (NY S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3802)

9. Signature: _____ Print Name: _____
 Title: _____ Date: _____ Phone #: _____

The Division of Homeland Security and Emergency Services (DHSES) requires that the grantee conduct a physical inventory of property records at least once every two years to verify the existence, current utilization and continued need for the property. In the event the property is no longer required by the Grantee, this fact should be reported to DHSES as soon as possible.

Authorization for Continued Use: Upon completion of all contractual requirements by the grantee, DHSES accepts the request for continued use and possession of the equipment purchased with grant funds. This acceptance is made provided the equipment continues to be used in accordance with the contracted activities and guidelines.

If at any time during the life expectancy of the equipment your organization should dispose of any of these items, any proceeds realized must be reinvested in equipment items to continue your organization's activities. If the proceeds are not reinvested to continue activities, that percentage of the proceeds equal to the proportion of the original purchase price paid by funds for the contract must be paid to the State of New York.

<p>10. I hereby certify that the above equipment has been received and added to our property accounting records. Said equipment will be periodically inventoried and reconciled with accounting records. I am requesting continued use of equipment.</p> <p>_____ Signature of authorized grantee representative</p>	<p>Acceptance for continued use and possession of equipment.</p> <p>_____ Division of Homeland Security and Emergency Services</p> <p>_____ Date</p>
--	--

Serial numbers for equipment that is \$5,000 or more are required. If multiple like items are being reported, simply state "see attached" in the space and attach a list of items and their serial numbers.

You must select the method of procurement from the drop-down list.

Don't forget to sign both box #9 and #10 on the Equipment Detailed Itemization Form.



FY2022 Federal NSGP Grantee Orientation

Reimbursement and Fiscal Reporting Continued**Detailed Itemization Form Description**In the boxes labeled:

- 8a. *This does not apply to the NSGP grant program - please skip.
- 8b. Provide the description of the purchased items (using the correct category of the contract budget).
- 8c. Total number of items as they appear on the invoice.
- 8d. Date the equipment was ordered.
- 8e. Date the equipment was received.
- 8f. Serial numbers or other unique id # as they appear on each item (required for any single item over \$5,000).
- 8g. Check number for each purchase made. One check may be valid for more than one item or set of items.
- 8h. Name of the payee as it appears on each check listed.
- 8i. Amount charged to the grant.
- 8j-8k. *These do not apply to the NSGP grant program - please skip.
- 8L. You must select the method of procurement from the dropdown list.
- 9-10. Both boxes need an original signature.



Reimbursement and Fiscal Reporting Continued

Fiscal Reimbursement Tips

- All expenditures must be in accordance with approved contract budget.
- Any changes to the budget **MUST** be pre-approved through your Grants Representative before procurement can take place.
- The Date Ordered and Date Received **MUST** be within the contract period and must be reflected on the Detailed Itemization Forms (DIF).
- Fiscal reporting should be submitted as projects are completed and paid for.
- Be mindful that the amount listed at the bottom of each DIF, under Total, is the same amount that is reflected on the FCR and Voucher.
- It is recommended that you email all fiscal forms to your Grants Representative for review before signing.



FY2022 Federal NSGP Grantee Orientation

Quarterly Progress Reports

- Directly addresses the objectives, tasks and performance measures in the Work Plan.
- Progress Reports are required from all grantees, once the contract is executed, according to the schedule below:
 - **January 1 – March 31 period is due no later than April 30th**
 - **April 1 – June 30 period is due no later than July 30th**
 - **July 1 – September 30 period is due no later than October 30th**
 - **October 1 – December 31 period is due no later January 30th**



FY2022 Federal NSGP Grantee Orientation

Quarterly Progress Reports Continued

Participant: test County	General	Participants	Work Plan	Budget	Funding Allocation	Questions	Conditions	Acceptance
Home Open Locked Go to Attachment Progress Site Review Financial Property Reports Application Deficiency Draft Contract Help Logout Login ID: tsignatory2 4.3.10	Complete screen information and save. Add a National Priority and Program Purpose Area (if applicable). Once finished, proceed to Participants tab. For contract certifications, appendices and supporting documentation, please visit the DHSES website for available downloads. When you have completed your application, click the SUBMIT link in the left margin. Remember, you will no longer be able to edit your application once it has been submitted.							
	Project Title * (60 Character Limit) <input type="text" value="test project"/>				Submission Date 06/05/2017			
	Project Start Date <input type="text" value="06/05/2017"/> (If known or applicable)				Grant Funds \$50,000.00 100.00%			
	Project End Date <input type="text" value="12/31/2017"/> (If known or applicable)				Matching Funds \$0.00 0.00%			
	Project Period Years 0 Months 6				Total Funds \$50,000.00			
County * <input type="text" value="Albany"/>								
Summary Description of Project * (Please limit to one or two paragraphs) <div> test </div>								
<div> <input type="button" value="Cancel"/> <input type="button" value="Check Spelling"/> </div>								
* - Mandatory Field								
Federal Program Purpose Area								

- Log into DHSES E-Grants system and open your project
- Click in the left-hand frame the word “Progress”



FY2022 Federal NSGP Grantee Orientation

Quarterly Progress Reports Continued

Home Open	Participant: Test County					
	Click on the Progress number to view information for that Progress Report.					
	#	Report Period	Year	Status	Submitted	Spent
	New					
Go to Project Attachment Site Review Financial Property						
Help Logout						
Login ID: tsignatory2						
4.3.10						

Total Records: 0, Page 1 of 1

- Click the “New” button to open a new progress report.
- Previously submitted progress reports will also be listed.



Quarterly Progress Reports Continued

Only fill out when applicable

- Reporting period and report year (drop down fields)
- Person submitting report
- Comments/Remarks-Please provide a brief summary of the grant related progress from the quarter. *See the bullet below.
- Click "SAVE"

***If you have no activity to report**, check the “No Activity this Quarter” box (circled in red) and provide further explanation in the “Comments/Remarks” box indicating why there was no activity (i.e. waiting for EHP approval, organization was closed due to COVID-19, etc.)

FY2022 Federal NSGP Grantee Orientation

Quarterly Progress Reports Continued

Home Open Submit Go to Project Attachment Site Review Financial Property Help Logout Login ID: tsign... 4.2.0	Participant: Test County									
	General		Workplan Outcomes							
	Project Goal To prevent, prepare for or mitigate the effects of a terrorist attack on located at .									
	Objective #1 Purchase and install equipment to enhance the security at that would assist in target hardening the location.									
Task #1 for Objective #1 Purchase/install perimeter security and/or access control enhancing items of equipment. Train appropriate personnel in the proper use of the equipment and place the equipment into service. (Requires prior EHP approval.)				Completed no						
# Performance Measure 1 Identify equipment ordered and received. Provide a brief narrative on the training of personnel and the deployment of equipment. Describe how the equipment is enhancing the day to day security of the location. Equipment accountability records are properly maintained				Outcomes						
Unanticipated Outcome				<table border="1"> <thead> <tr> <th>Current Quarter</th> <th>Prior Quarter</th> <th>Year To Date</th> </tr> </thead> <tbody> <tr> <td>0.00</td> <td>0.00</td> <td>0.00</td> </tr> </tbody> </table>	Current Quarter	Prior Quarter	Year To Date	0.00	0.00	0.00
Current Quarter	Prior Quarter	Year To Date								
0.00	0.00	0.00								
Objective #2 Conduct/attend training that addresses a specific threat, vulnerability and/or consequence (requires prior DHSES approval).										
Task #1 for Objective #2 Conduct training regarding prevention of or reaction to a terrorist threat or action. Requires prior DHSES approval.				Completed no						
# Performance Measure 1 Description of the training (requires prior DHSES approval). Number of staff receiving training. Copy of agenda or training curriculum and roster of attendees maintained on file. Describe how the training enhanced the prevention of or reaction to a terrorist threat or action.				Outcomes						
Unanticipated Outcome				<table border="1"> <thead> <tr> <th>Current Quarter</th> <th>Prior Quarter</th> <th>Year To Date</th> </tr> </thead> <tbody> <tr> <td>0.00</td> <td>0.00</td> <td>0.00</td> </tr> </tbody> </table>	Current Quarter	Prior Quarter	Year To Date	0.00	0.00	0.00
Current Quarter	Prior Quarter	Year To Date								
0.00	0.00	0.00								

To select the Performance Measure, click the blue number

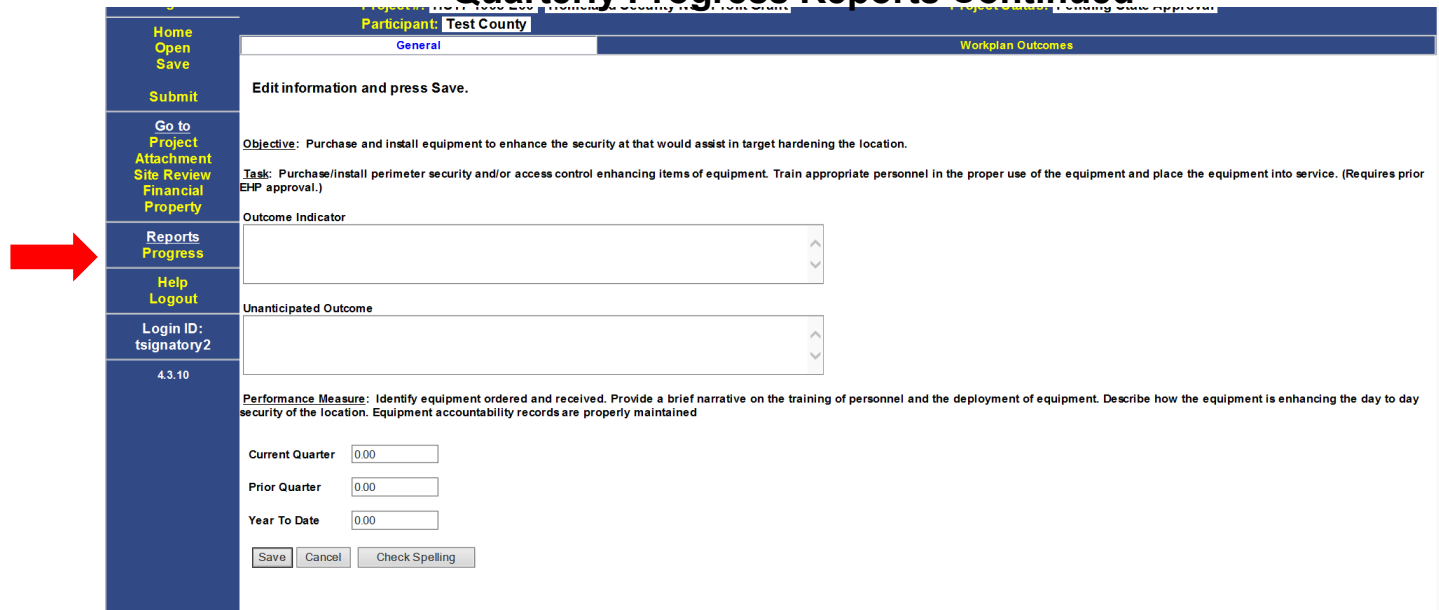
Click on Workplan Outcomes to report on the Performance Measures. The Project Goal, Tasks, and Performance Measures are pre-filled from your contract.



Homeland Security
and Emergency Services

FY2022 Federal NSGP Grantee Orientation

Quarterly Progress Reports Continued



The screenshot shows a web application interface for submitting progress reports. On the left is a dark blue sidebar with a vertical menu. A red arrow points to the 'Reports Progress' menu item. The main content area is titled 'Participant: Test County' and has tabs for 'General' and 'Workplan Outcomes'. The 'General' tab is active, showing a form with the following sections:

- Header:** 'Edit information and press Save.'
- Objective:** Purchase and install equipment to enhance the security at that would assist in target hardening the location.
- Task:** Purchase/install perimeter security and/or access control enhancing items of equipment. Train appropriate personnel in the proper use of the equipment and place the equipment into service. (Requires prior BHP approval.)
- Outcome Indicator:** A text input field with up/down arrow icons.
- Unanticipated Outcome:** A text input field with up/down arrow icons.
- Performance Measure:** Identify equipment ordered and received. Provide a brief narrative on the training of personnel and the deployment of equipment. Describe how the equipment is enhancing the day to day security of the location. Equipment accountability records are properly maintained.
- Current Quarter:** 0.00
- Prior Quarter:** 0.00
- Year To Date:** 0.00
- Buttons:** Save, Cancel, Check Spelling

Record the information in Outcome Indicator field. If there are any problems or delays to report, please document them in the Unanticipated Outcome box.

Click Save.

When all the information has been entered, click the *Submit* button in the left side frame of the screen. Click the *OK* button in the dialog box to confirm that this progress report is to be submitted.

*Please note, once the Progress Report is submitted, no changes can be made.



**Homeland Security
and Emergency Services**

Key Points

- You cannot begin work on **ANY** equipment projects until your contract is **EXECUTED AND** FEMA has approved your EHP.
- No changes can be made to your contract without **PRIOR** approval from **FEMA/DHSES**.
- Failure to follow all the proper procurement policies, as outlined in the contract, will result in the reimbursement being rejected or costs being disallowed.
- All equipment should be ordered, installed and paid for by 8/31/25; final fiscal documentation must be submitted within 30 days after your contract end date.
- You are required to provide quarterly reports in E-Grants once your contract is executed.

Questions?

Please type your questions into the “Chat” function.