



# **Homeland Security and Emergency Services**

## **FY2020 Critical Infrastructure Grant Program Request for Applications (RFA)**

**Application Deadline: May 5, 2022 by 5:00 pm**

**In order to ensure adequate time to respond, substantive written questions regarding this Request for Applications will be accepted until 12:00 noon on April 28, 2022.**

Technical Assistance for E-Grants will not be available after 5:00 pm on May 5, 2022.

## Table of Contents

<b>I. Introduction .....</b>	<b>3</b>
<b>II. Eligibility .....</b>	<b>4</b>
<b>III. FY2020 Critical Infrastructure Grant Program Objectives .....</b>	<b>5</b>
A. Identify a Government Owned Critical Infrastructure or Mass Gathering/Special Event Site .....	5
B. Complete a Risk Assessment and Evaluate the Capabilities of Local First Responders .....	5
C. Reduce Risk and Enhance Capabilities.....	5
<b>IV. Authorized Program Expenditures .....</b>	<b>5</b>
A. Permissible Costs.....	5
B. Costs Not Permissible .....	6
<b>V. Application Format and Content.....</b>	<b>6</b>
A. Format .....	6
B. Required Application Content.....	6
C. Required Budget Summary .....	7
D. Bonus Points Criteria .....	7
<b>VI. Application Evaluation Criteria .....</b>	<b>8</b>
A. Tier 1 Criteria .....	8
B. Tier 2 Criteria .....	8
<b>VII. Checklist of Required Documents .....</b>	<b>10</b>
<b>VIII. Timeline.....</b>	<b>10</b>
<b>IX. Approval and Notification of Award.....</b>	<b>10</b>
<b>X. Administration of Grant Contracts .....</b>	<b>11</b>
A. Issuing Agency.....	11
B. Filing an Application .....	11
C. Reservation of Rights.....	11
D. Term of the Contract .....	13
E. Payment and Reporting Requirements of Grant Awardees.....	13
F. Satisfactory Progress .....	19
G. General Specifications .....	20
H. Special Conditions .....	21
<b>XI. Questions.....</b>	<b>22</b>
<b>Exhibit A: Allowable Costs Matrix .....</b>	<b>23</b>
<b>Exhibit B: Risk Instructions and Template Assessment and Capability Evaluation .....</b>	<b>25</b>
<b>Exhibit C: Examples of Government Owned Critical Infrastructure, Mass Gathering and Special Event Sites .....</b>	<b>28</b>
<b>Exhibit D: Best Practices for Preparing an Effective Grant Application .....</b>	<b>29</b>

## I. Introduction

The purpose of this Request for Applications (RFA) is to solicit applications for up to \$50,000 in federal FY2020 State Homeland Security Program (SHSP) funding made available by the NYS Division of Homeland Security and Emergency Service (DHSES) for critical infrastructure and/or mass gathering/special event site protection. There is a total of up to \$500,000 in funding that is made available under this grant program and funding will be awarded competitively based on the submission of completed and eligible applications.

The FY2020 Critical Infrastructure Grant Program (CIGP) advances a common understanding of risk management. Applicants select a critical infrastructure site<sup>1</sup> or mass gathering/special event site and complete a risk assessment. As a portion of that risk assessment, first responders assess their capability to prevent and protect against attacks on the site. Grant funding is then applied to mitigate vulnerabilities identified in the risk assessment or enhance first responder's capabilities.

The purpose and goals of the Critical Infrastructure Grant Program are:

- To ensure that New York State is providing tools and opportunities in support of the vision and major mission areas of the New York State Homeland Security Strategy. This grant program supports three of the five mission areas: prevention, protection, and mitigation.
- To ensure that major urban areas within New York State have access to a grant program to protect critical infrastructure.
- To ensure that grant dollars are being applied to identified vulnerabilities or gaps in protection efforts.
- To reduce the overall risk to critical infrastructure by:
  - Maintaining competitive funding to mitigate identified needs.
  - Fostering a forum for state partnering on local critical infrastructure security, safety, and planning.

The FY2020 CIGP is focused on government owned critical infrastructure sites and government owned mass gathering/special event sites. Please note, federal or state-owned sites are not eligible under this grant program. Examples of types of projects that are allowable are listed below for your reference:

- ***Government Owned Critical Infrastructure:*** Examples of government owned sites include, but are not limited to, government office buildings (city/town halls), emergency services (emergency operations centers, 911 centers, police or fire stations), water systems (water treatment facilities, water distribution, wastewater treatments) or government owned stadiums.

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<sup>1</sup> Critical infrastructure, as defined by New York State, means "systems, assets, places or things, whether physical or virtual, so vital to the state that the disruption, incapacitation or destruction of such systems, assets, places or things could jeopardize the health, safety, welfare or security of the state, its residents or its economy."

- **Government Owned Mass Gathering/Special Event Site:** Government property, where events such as, but not limited to, major community festivals, races, concerts, or games are held. These events must be reoccurring (but not necessarily the same event) and located or held on government owned or leased property that has definable geographic boundaries. The event or location must pose special security concerns, such as population surges and other factors that require additional law enforcement or emergency resources.

## II. Eligibility

Only specific counties and units of local government within targeted counties are eligible to apply for the FY2020 Critical Infrastructure Grant Program. Units of local governments include: counties, cities, towns, and/or villages. Privately owned and not-for-profit sites are **not** eligible to receive funding under the FY2020 CIGP.

Applicants must be located in New York City or one of the following targeted counties: Albany, Broome, Dutchess, Erie, Herkimer, Livingston, Madison, Monroe, Nassau, Niagara, Oneida, Onondaga, Ontario, Orange, Orleans, Oswego, Putnam, Rensselaer, Rockland, Saratoga, Schenectady, Schoharie, Suffolk, Tioga, Wayne, Westchester, and Yates. These targeted counties are a composition of the State's top seven Metropolitan Statistical Areas (MSAs).

The application must be coordinated with at least two (2) agencies with prevention and/or protection responsibilities at the selected site. These must be law enforcement, fire department, emergency management or public works agencies.

The applying unit of local government may submit **only one** application under the FY2020 CIGP. Multiple applications are unallowable, and only one application for either a government owned critical infrastructure or a government owned mass gathering/special event site (as described in the definitions in Section I. Introduction) will be accepted.

- **Nationwide Cyber Security Review (NCSR) Requirement:** All applicants that receive funding through the FY2020 CIGP will be required to participate in the Nationwide Cyber Security Review (NCSR) as a condition of receiving federal homeland security funding. Details concerning accessing and registering for the NCSR can be found at: <https://www.cisecurity.org/ms-isac/services/ncsr/>. It is advised that you coordinate closely with your Information Security Officer (ISO) to determine if your jurisdiction has already completed this requirement – please note that you are only required to submit once for your specific jurisdiction.

### III. FY2020 Critical Infrastructure Grant Program Objectives

DHSES has identified the following objectives for the FY2020 Critical Infrastructure Grant Program:

#### A. Identify a Government Owned Critical Infrastructure or Mass Gathering/Special Event Site

DHSES recognizes that localities know their communities best. The CIGP was designed to allow for applicants to prioritize and select a **government owned critical infrastructure site** or **fixed government owned site with reoccurring events** for this targeted grant program.

The FY2020 CIGP is limited to government owned critical infrastructure and mass gathering/special event sites. Applicants are responsible for ensuring ownership or leased status of the selected sites.

#### B. Complete a Risk Assessment and Evaluate the Capabilities of Local First Responders

The CIGP supports the “assess risk” process of the risk management framework of the National Infrastructure Protection Plan (NIPP) by requiring partners to complete a risk assessment at the identified critical infrastructure site or mass gathering/special event site prior to submitting an application. Local first responders must also complete a capability assessment to identify equipment, training, and/or exercise needs to prevent and protect against attacks at the critical infrastructure site. Both the risk and capability assessments must be completed using the template in “Exhibit B.”

All jurisdictions have participated in the County Emergency Preparedness Assessment (CEPA) process and should have a good idea of the risks and capabilities within their jurisdiction and where gaps in capabilities may exist. Leveraging available data from the CEPA may be useful in this section.

#### C. Reduce Risk and Enhance Capabilities

Based upon the risk and capability assessments, develop a budget detailing how FY2020 CIGP funds will be used to mitigate risks identified through the risk assessment process and/or enhance capabilities identified through the risk management process.

### IV. Authorized Program Expenditures

#### A. Permissible Costs

Grant funding under the FY2020 Critical Infrastructure Grant Program may be used for certain equipment, training, and exercise costs allowable under the State Homeland Security Program (SHSP). Due to the specialized nature of this grant program, applications must mitigate specific vulnerabilities at the selected government owned critical infrastructure or government owned mass gathering/special event sites and enhance first responder capabilities to prevent and protect the selected site. Applicants should refer to “Exhibit A - Allowable Costs Matrix,” for detailed information on allowable costs.

- **Grants Programs Directorate Information Bulletin (IB) 426:** This bulletin is in support of Executive Order 13809 and rescinds restrictions placed on certain

controlled equipment that was previously articulated in 407 and 407a issued by the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA). In addition, IB#426 outlines specific policy and documentation requirements for some equipment which continue to require DHS/FEMA approval. If your agency requests equipment identified as requiring pre-approval and are disapproved, your grant award will decrease by the amount of the disapproved item(s). Please refer to “Exhibit A” for the specific category of equipment.

**B. Costs Not Permissible**

Organizational, management and administrative, construction, and personnel costs are not allowable under the FY2020 CIGP. Applicants should refer specifically to “Exhibit A” of this RFA to obtain clear guidance on allowable costs under this grant program.

**V. Application Format and Content**

**A. Format:** Grant applications **MUST** be submitted via the automated E-Grants System operated by DHSES. The system allows an agency to complete an application electronically and submit it over the Internet using a secure portal. If upon reading this RFA you are interested in completing a grant application, and you have not previously been registered to use the DHSES E-Grants system, your agency will need to register and be assigned a user name and password. The Registration Request Form and a detailed tutorial on how to use the E-Grants system is available at: <https://www.dhses.ny.gov/targeted-grants>.

**B. Required Application Content:** The following questions must be addressed in your FY2020 Critical Infrastructure Grant Program application. You must answer these specific grant questions in the “Questions” tab in E-Grants:

1. Site Identification: Applicants must provide the site name of the government owned critical infrastructure site or government owned mass gathering/special event site.
2. Site Selection Questions (for the government owned critical infrastructure site or government owned mass gathering/special event site):
  - Applicants must provide a description of the government owned critical infrastructure site or government owned mass gathering/special event site selected and the critical role it has within the community;
  - Describe the relationship between the selected government owned infrastructure site or government owned mass gathering/special event site and the local first responder community. Be sure to include the criteria used for the selection of the partnering agencies.
  - Explain **in detail** how this site was selected and prioritized over other sites. **In doing so, explain why the site was selected and discuss the other sites that were considered.**

3. Partnering Agencies: The application must be coordinated with at least two (2) agencies with prevention and/or protection responsibilities at the selected site. These must be law enforcement, fire department, emergency management, or public works agencies. **Applicants must describe in detail the coordination efforts between agencies and how these efforts are undertaken, such as, but not limited to, event plan development, and if applicable, describing joint training and/or exercises done at the potential site.**
4. Overall Application Questions: Applicants must summarize how the application meets the overall goals and objectives of the FY2020 CIGP, as well as establish the **need** for this grant funding.
5. If the application is successful, it must show how the projects implemented will be maintained and sustained at the critical infrastructure location;
6. Given the time constraints for spending down grants funds, please explain how the project will be implemented by **August 31, 2023**.
7. Risk Assessment and Capability Evaluation: Refer to “Exhibit B” for instructions on completing the Risk Assessment and Capability Evaluation. Attach the completed excel document to your project in E-Grants.

**C. Required Budget Summary:** Under the Budget tab in E-Grants applicants are asked to enter in the following:

1. Budget Item Description: Applicants must provide a description of the item to be implanted at the government owned critical infrastructure site or government owned mass gathering/special event site.
2. Justification: Explain **in detail**, justification of the budgetary item and the capability enhancement the budgeted item can provide at the selected site.

**D. Bonus Points Criteria:** Due to the highly competitive nature of this program and to maximize the impacts of funding across the state, Bonus Points will be awarded to applicants who are applying for government owned mass gathering/special event sites and/or have not been previously funded under the Critical Infrastructure Grant Program. All government owned mass gathering/special event site applications will be awarded two (2) Bonus Points while all previously unfunded applicants will be awarded three (3) Bonus Points. These Bonus Points will be added to their overall application scores.

Any jurisdiction awarded funding must comply with the National Environmental Policy Act (NEPA). If you need additional information regarding Environmental and Historic Preservation (EHP) compliance, please visit our website at <https://www.dhSES.ny.gov/grant-programs>. Additionally, the Authorized Equipment List (AEL) has been updated to include a notification in the individual equipment under the FEMA Grants Programs column if an EHP review is necessary, which can be found at: <https://www.fema.gov/authorized-equipment-list>.

## VI. Application Evaluation Criteria

The following multi-tiered criteria will be used by DHSES to evaluate each application and to determine grant awards. DHSES will select a multi-agency review panel to evaluate applications. All grant awards are approved by the Commissioner of DHSES.

### A. Tier 1 Criteria

Tier 1 criteria are rated either “yes” or “no” and serve as a baseline review by DHSES to determine if applicants are eligible and have appropriately submitted all the required application materials prior to review by the multi-agency review committee. If any of the answers are “no,” the application will be immediately disqualified without further review and consideration for an award.

1. Was the application submitted on time?
2. Was the application submitted via E-Grants?
3. Was the application complete including the required exhibits? (the **required** Risk Assessment and Capability Evaluation must be attached in E-Grants by the submission due date)
4. Did the application meet the eligibility requirements?
  - a. From a targeted county/NYC.
  - b. From a unit of local government.
  - c. Was coordinated with two or more agencies.
  - d. Selected a government owned critical infrastructure site or a mass gathering/special event site (**Multiple submissions regardless of the project funding type, will result in both applications being disqualified without further review**).

### B. Tier 2 Criteria

Applications meeting the Tier 1 review set forth above will be reviewed and evaluated competitively using the criteria specified below. Scores per criterion will be totaled to establish a ranked list of eligible applications for consideration of awards. At the sole discretion of DHSES, applicants may be disqualified due to untimely submission of any requested supporting documentation.

<b>Tier 2 Evaluation Criteria</b>	<b>Point Score Range</b>
Overall Application	0-10 points
Identification of (Government Owned) Critical Infrastructure or Mass Gathering/Special Event Site	0-10 points
Risk Assessment and Capability Evaluation	0-50 points
Budget	0-20 points
Risk Score <sup>1</sup>	0-10 points
<b>Subtotal</b>	<b>100 Points Maximum</b>
<b>Bonus Points:</b> Mass Gathering/Special Event Site Applications	<b>2 points</b>
<b>Bonus Points:</b> Previously Unfunded Applicants	<b>3 points</b>
<b>Grant Management Performance History</b> <sup>2</sup>	0-10 point (Subtracted off the top of final average score)
<b>Total</b>	<b>105 Points Maximum</b>

Applications receiving the highest average score based upon panel review will be selected for recommendation to the Commissioner of DHSES for award. The total scores will be averaged and ranked in order from highest to lowest. The State reserves the right, for the purpose of ensuring the completeness and comparability of proposals, to analyze submissions and make adjustments or normalize submissions in the proposals, including applicants' technical assumptions, and underlying calculations and assumptions used to support the computation of costs, or to apply such other methods, as it deems necessary to make comparisons. In the event of a tie score where one or more applicants may not be fully funded, the applicant with the highest score in the "Overall Application" section will be ranked higher. Proposed budgets will be reviewed, and items deemed inappropriate, unallowable, or inconsistent with project or program activities will be eliminated. Grants in the amount of the budgets, as adjusted, will be made to the highest-ranking applicants until funds are insufficient to fund the next ranking application in full. The State reserves the right, at its discretion, to make amendments and/or alter funding levels of one or more applicants based on any new information discovered that would have originally affected the scoring or to not award funding to any application with a final average score of 60 or less.

<sup>1</sup> DHSES is committed to distributing homeland security funding based upon risk. The Division of Homeland Security and Emergency Services will award each applicant up to 10 points in competitive scoring. Core variables which will be considered in the risk score include, county threat score (0-3 points); population and population density (0-4 points); critical infrastructure (0-1); and mass gatherings (0-2).

<sup>2</sup> Per the Code for Federal Regulations (CFR) 2 CFR Part 200, DHSES is required to assess the risk posed by applicants of federal funding passed through DHSES. For previously funded applicants, DHSES will assess how well they have historically managed federal grant funds. This will include reporting compliance, successful award spend-down, and program objective compliance. Once a prospective applicant's final overall average score is determined by the review panel, DHSES may subtract up to 10 points based on its "Grant Management Performance History" criteria.

## VII. Checklist of Required Documents

- Applications must be submitted to DHSES via E-Grants with the required attachments uploaded.
- Completed Risk Assessment and Capability Evaluation (“Exhibit B”) must be submitted as an **attachment** to your project in E-Grants.

## VIII. Timeline

DHSES must receive completed grant applications by **5:00 p.m. on May 5, 2022**. Applications received after the due date and time will not be considered. Applications must be submitted via DHSES E-Grants System. Please note that E-Grants Technical Assistance will only be available during business hours on the date the application is due. Furthermore, all written questions must be submitted to DHSES by **12:00 noon on April 28, 2022** to ensure that a timely response is provided to the applicant.

Grant applicants can expect to be notified of award decisions sometime in June / July 2022.

## IX. Approval and Notification of Award

The Commissioner of DHSES will provide oversight of the grant review process. The Commissioner will announce the final grant award decisions based on the review panel’s rating of applications and recommendations. DHSES will notify all applicants in writing as to final grant award determinations. Nothing herein requires or prohibits DHSES to approve grant funding for any one applicant, certain applicants, all applicants or no applicants. Any disbursement of an award is contingent upon entering into a contract with DHSES, as explained in further detail below.

Pursuant to Section 163(9)(c) of the State Finance Law, any unsuccessful Bidder may submit a written request for a debriefing regarding the reasons that the Bid submitted by the Bidder was not selected for award. Requests for a debriefing must be made within 15 calendar days of notification by DHSES that the Bid submitted by the Bidder was not selected for award. An unsuccessful Bidder’s written request for a debriefing shall be submitted to DHSES 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.

Due to the competitive nature of this grant application proposed changes to the scope of the program may not be approved post-award.

## **X. Administration of Grant Contracts**

DHSES will negotiate and develop a grant contract with the applicant based on the contents of the submitted application and intent of the grant program as outlined in this RFA. The grant contract is subject to approval by the NYS Office of the Attorney General and the Office of the State Comptroller before grant funding may actually be disbursed to reimburse project expenses.

The period of performance for contracts supported by the FY2020 Critical Infrastructure Grant Program funds will be determined once awards have been approved but cannot extend beyond **August 31, 2023**. Although the contract format may vary, the contract will include such standard terms and conditions included in DHSES grant contracts available for review on the DHSES website: <https://www.dhSES.ny.gov/grant-reporting-forms>.

Applicants agree to adhere to all applicable state and federal regulations.

### **A. Issuing Agency**

This RFA is issued by DHSES, which is responsible for the requirements specified herein and for the evaluation of all applications.

### **B. Filing an Application**

Grant applications must be submitted via the automated DHSES E-Grants System. The system allows an agency to complete an application electronically and submit it over the Internet using a secure portal. If, upon reading this RFA, you are interested in completing a grant application and you have not previously been registered to use the DHSES E-Grants system, your agency will need to register and be assigned a username and password. The Registration Request Form can be found at the following Internet address: <https://www.dhSES.ny.gov/e-grants>.

A detailed tutorial on how to use the E-Grants system can also be found at the following Internet address: <https://www.dhSES.ny.gov/targeted-grants>. It will guide you in a step-by-step process through the E-Grants application submission.

### **C. Reservation of Rights**

The issuance of this RFA and the submission of a response or the acceptance of such response by DHSES does not obligate DHSES in any manner. 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 non-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. Communicate with any applicant at any time during the application process to clarify responses 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 applicants at the discretion of DHSES.
19. Periodically monitor the applicant'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. Consider all applications and documentation submitted as State agency records subject to the New York State Freedom of Information Law (Public Officers Law, Article 6). Any portion of the application that an applicant believes constitutes proprietary or critical infrastructure information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the application.
22. Applicants 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 applicant; and (2) the status of any corresponding applicant or applicant plans, capabilities, or other resources for

preventing, protecting against, mitigating, responding to, and recovering from such threats or hazards.

23. Require applicants 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.
24. In its sole discretion, 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.

DHSES may exercise the foregoing rights at any time without notice and without liability to any responding applicant or any other party for its expenses incurred in preparation of responses hereto or otherwise. All costs associated with responding to this RFA will be at the sole cost and expense of the applicant.

#### **D. Term of the Contract**

Any resulting contract or agreement for more than \$50,000 from this RFA will be effective only upon approval by both the NYS Office of the Attorney General and State Comptroller. Any resulting contract for \$50,000 and under from this RFA will be effective upon signature of both parties. For grants valued at \$10,000 or less, a Purchase Order invoking a "Letter of Agreement" between DHSES and the successful applicant will be issued.

#### **E. Payment and Reporting Requirements of Grant Awardees**

##### **1. Standard Cost Reimbursement Contract**

Each successful applicant must enter into a standard cost reimbursement contract with DHSES. Such contract will include this Request for Applications, the successful applicant's proposal, any attachments or exhibits and the standard clauses required by the NYS Attorney General for all State contracts (available upon request). The contract will be subject to approval by the Attorney General and State Comptroller. Although the contract format may vary, the contract will include such clauses, information, and rights and responsibilities as can be found on the DHSES website, including:

- APPENDIX A-1 - Agency Specific Clauses or a Letter of Agreement (Depending upon Funding Amount)
- APPENDIX B - Budget
- APPENDIX C - Payment and Reporting Schedule
- APPENDIX D - Workplan/Special Conditions

For purposes of this RFA, these terms and conditions are incorporated by reference and the applicant must agree to the inclusion of all of these terms and conditions in any resulting grant contracts as part of the application submission. Copies of the standard

terms and conditions included in DHSES grant contracts are available for review on the DHSES website at <https://www.dhSES.ny.gov/grant-reporting-forms>. Payments will be made subject to proper documentation and compliance with reimbursement procedures and all other contractual requirements.

## **2. Compliance with State and Federal Laws and Regulations, Including Procurement and Audit Requirements**

### **2 CFR Part 200**

Applicants (also referred to herein as “Subrecipients”) are responsible to become familiar with and comply with all state and federal laws and regulations applicable to these funds. Applicants are required to consult with the DHSES standard contract language (referenced above) for more information on specific requirements. Additionally, applicants must comply with all the requirements in 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards). Applicants are required to understand and adhere to all federal requirements. You may access 2 CFR Part 200 at:

<https://www.ecfr.gov/cgi-bin/text-idx?SID=1c9afe07b881b32365c2f4ce1db64860&mc=true&node=pt2.1.200&rgn=div5>

### **Procurements**

Additionally, applicants must follow and comply with all procurement procedures under General Municipal Law 5A and 2 CFR Part 200, Subpart D (see 2 CFR §§200.317-.327), and/or any other state or federal regulations applicable to these funds and will be subject to monitoring by DHSES to ensure compliance.

### **Single Audit**

Applicants that expend \$750,000 or more from all Federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of U.S. Government Accountability Office’s (GAO) Government Auditing Standards, located at <http://www.gao.gov>, and the requirements of Subpart F of 2 CFR Part 200 located at: <http://www.ecfr.gov/cgi-bin/text-idx?node=sp2.1.200.f>.

### **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 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.

### **Conflict of Interest**

Pursuant to 2 CFR §200.112, in order to eliminate and reduce the impact of conflicts of interest in the sub-award process, applicants must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making sub-awards. Applicants are also required to follow any applicable state, local, or Tribal statutes or regulations governing conflicts of interest in the making of sub-awards.

The applicant must disclose to the respective Contract Representative, in writing, any real or potential conflict of interest as defined by the Federal, state, local, or Tribal statutes or regulations or their own existing policies, which may arise during the administration of the Federal award within five days of learning of the conflict of interest. Similarly, applicants must disclose any real or potential conflict of interest to the pass-through entity (State) as required by the applicant's conflict of interest policies, or any applicable state, local, or Tribal statutes or regulations.

Conflicts of interest may arise during the process of DHS/FEMA making a federal award in situations where an employee, officer, or agent, any members of his or her immediate family, his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, sub-applicant, recipient, subrecipient, or DHS/FEMA employees.

Additionally, applicants must disclose, in writing to the Federal Awarding Agency or to the pass-through entity (State) all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures can result in any of the remedies described in § 200.339. Remedies for noncompliance, including suspension or debarment. (See also 2 CFR part 180 and 31 U.S.C. 3321).

### **Contracting with Small and Minority Firms, Women's Business Enterprise and Labor Surplus Area Firms**

Pursuant to New York State Executive Law Article 15-A, the 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 subcontractors 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.

An applicant on any contract resulting from this procurement ("Contract") must incorporate the affirmative steps above into its grant management policies and procedures.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the applicant and subrecipients will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

#### **Sexual Harassment Prevention**

By submitting this application, Applicants are certifying that Applicant has a policy addressing sexual harassment prevention and that applicant provides sexual harassment training to all its employees on an annual basis that meets the Department of Labor's model policy and training standards. If Applicant cannot make the certification, the Applicant may provide an explanatory statement with its bids detailing the reasons why the certification cannot be made.

### **Use of Service-Disabled Veteran-Owned Business 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 applicable federal laws and regulations including 2 CFR Part 200, State Finance Law, General Municipal 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 and 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 subrecipients 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**

By submitting this application, Applicants are certifying that Applicant has workers' compensation and disability coverage. Provided, however, that if Applicant cannot make the certification, the Applicant may provide an exemption statement with its bids detailing the reasons why the certification cannot be made.

### **3. 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.

### **4. 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, applicants shall at all times during the Contract term remain responsible. The applicant 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. DHSES requires that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System, see the VendRep System Instructions available at:

[http://www.osc.state.ny.us/vendrep/info\\_vrsystem.htm](http://www.osc.state.ny.us/vendrep/info_vrsystem.htm) or go directly to the VendRep system online at <https://onlineservices.osc.state.ny.us/Enrollment/login?0>. Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at [ITServiceDesk@osc.state.ny.us](mailto:ITServiceDesk@osc.state.ny.us). Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website [http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm) or may contact the Office of the State Comptroller's Help Desk for a copy of the paper form. Applicants will also be required to complete and submit a Vendor Responsibility Questionnaire prior to contracting.

**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 applicant. In the event of such suspension, the applicant 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 applicant, 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 applicant's expense where the applicant 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. Applicants shall at all times during the Contract term remain responsible. The applicant 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.

**F. 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 work program within the time allocated for their completion. DHSES may recapture awarded funds if satisfactory progress is not being made on the implementation of a grant project.

## G. General Specifications

By submitting the application, the applicant attests that:

1. Applicant has express authority to submit on behalf of the applicant's agency.
2. Submission of an application indicates the applicant's acceptance of all conditions and terms contained in this RFA, including Appendices A-1 and C, and all other terms and conditions of the award contract.
3. The application and any resulting grant, if awarded, must adhere to, and be in full compliance with any, resulting contract(s) and relevant federal and states policies and regulations or be subject to termination.
4. Any not-for-profit subrecipients are required to be prequalified, prior to contract execution, by the State of New York upon application submission through the New York State Grants Gateway (<https://grantsgateway.ny.gov>)
5. 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/state-agencies/forms>.
6. Contract Changes - Contracts with applicants/subrecipients may be executed, terminated, renewed, increased, reduced, extended, amended, or renegotiated at the discretion of the Commissioner of DHSES, in light of applicants/subrecipients performance, changes in project conditions, or otherwise.
7. Records – Applicants/subrecipients 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.
8. Liability - Nothing in the contract between DHSES and the applicant 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.
9. 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.
10. Tax Law Section 5-a Certification – In accordance with section 5–a of the Tax Law, subrecipients 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 subrecipient 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).
11. Standard Contract Provisions - Grant contracts executed as a result of this RFA process will be subject to the standard clauses for New York State Contracts as referenced herein and as located at:  
[https://online.ogs.ny.gov/purchase/biddocument/23128i\\_AppendixA.pdf](https://online.ogs.ny.gov/purchase/biddocument/23128i_AppendixA.pdf)

12. 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.

## **H. Special Conditions**

### **New York State Emergency Management Certification and Training Program**

1. Participation in, and successful completion of, the New York State Emergency Management Certification and Training Program (EMC Training Program) is a mandatory requirement under this Contract and a condition of funding. The EMC Training Program will be made available to, and required for, DHSES-specified county and city government officials in order to ensure a consistent emergency management preparedness and response strategy across the State. Attendee substitutions, except as expressly approved by DHSES, shall not be permitted or deemed to be in compliance with this requirement.
2. To fulfill the EMC Training Program requirement of the Contract and in order to be eligible for funding under this Contract, applicants must arrange for DHSES-specified applicant employees to receive and acknowledge receipt of EMC Training no later than 180 days after execution of this Contract. Copies of the training certificates for each required participant must be submitted to DHSES upon execution of the Contract, or, in the event that training is scheduled, but not yet complete, the applicant will be required to submit a signed statement indicating the scheduled future dates of attendance, and no later than thirty (30) days after the training is complete, forward such training certificates to DHSES. Continued compliance with the EMC Training Program also requires an annual refresher training of one day per 365 day-cycle from the date of initial training for previously trained individuals if such person remains employed by the applicant and fulfilling the same functions as he or she fulfilled during the initial training. Should a new employee be designated to serve in the DHSES-specified positions, then he or she must come into compliance with the EMC Training Program requirements not later than 180 days after taking office.
3. Applicants must commit to active participation in a DHSES Annual Capabilities Assessment as a condition of funding. Active participation includes making reasonable staff, records, information, and time resources available to DHSES to perform the Annual Capabilities Assessment and meet the objectives and goals of the program. Applicants must be aware that the process of conducting a DHSES Annual Risk Assessment is an ongoing process and requires a continued commitment on the part of the applicant to ensure that it is effective.
4. All applicants 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 recipients or subrecipients; and (2) the status of any corresponding recipients or subrecipients plans, capabilities, or other resources for preventing, protecting against, mitigating, responding to, and recovering from such threats or hazards.

5. Additionally, pursuant to Article 26 of the NYS Executive law, DHSES is authorized to undertake periodic drills and simulations designed to assess and prepare responses to terrorist acts or threats and other natural and man-made disasters. Funded applicants 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.
6. Failure to comply with any of the requirements, as listed above, may result in sanctions up to and including the immediate suspension and/or revocation of the grant award.

## **XI. Questions**

Questions regarding the FY2020 Critical Infrastructure Grant Program should be directed to the following e-mail address [Grant.Info@dhses.ny.gov](mailto: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 April 28, 2022**.

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*): <https://www.dhses.ny.gov/targeted-grants>.

All questions regarding the E-Grants System should be directed to DHSES via e-mail ([Grant.Info@dhses.ny.gov](mailto:Grant.Info@dhses.ny.gov)) or telephone (866-837-9133). No technical assistance will be available after **5:00 p.m. on May 5, 2022**.

## Exhibit A: Allowable Costs Matrix

**Reminder:** Allowable costs for the FY2020 Critical Infrastructure Grant Program are more restrictive than the more general State Homeland Security Program (SHSP) because of the specialized nature of this targeted grant program. Accordingly, please refer only to “Exhibit A” of this Request for Applications (RFA) for details on allowable costs.

### Allowable Costs

<b>Equipment Categories</b>
CBRNE Operational Search & Rescue Equipment <sup>3</sup>
Interoperable Communications Equipment must be P-25 compliant
Detection Equipment
Power
CBRNE Reference Materials
Terrorism Incident Prevention Equipment
Physical Security Enhancement Equipment
Inspection & Screening Systems
CBRNE Logistical Support Equipment
Intervention Equipment
Other Authorized Equipment
<b>Training Costs</b>
Training workshops & conferences
Travel
Supplies
Other Items
<b>Exercise Related Costs</b>
Design, Develop, Conduct & Evaluate an Exercise
Exercise planning workshop
Implementation of HSEEP
Travel
Supplies
Other Items

<sup>3</sup> Certain equipment (not all) within this category require DHS/FEMA approval pursuant to Information Bulletin 426.

## Unallowable Costs

<b>Training Costs</b>
Overtime & backfill for emergency preparedness & response personnel attending FEMA-sponsored & approved training classes & technical assistance programs
Overtime & backfill expenses for part-time & volunteer emergency response personnel participating in FEMA training
Part-time staff or contractors/consultants (not full-time)
Tuition for Higher Education
Training Props
<b>Exercise Related Costs</b>
Part-time staff or contractors/consultants (not full-time)
Overtime & backfill costs, including expenses for part-time & volunteer emergency response personnel participating in FEMA exercises
<b>Equipment Categories</b>
Personal Protective Equipment
Explosive Device Mitigation & Remediation Equipment
Decontamination Equipment
Medical
CBNRE Incident Response Vehicles
CBRNE Response Watercraft (Requires FEMA approval)
CBRNE Aviation Equipment
<b>Management and Administrative (M&amp;A) Costs</b>
Hiring of full or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, compliance with reporting & data collection requirements
Development of operating plans for information collection & processing necessary to respond to FEMA data calls
Overtime and backfill costs
Travel
Meeting related expenses
Authorized office equipment
Recurring expenses such as those associated with cell phones & faxes during the period of performance of the grant program
Leasing or renting of space for newly hired personnel during the period of performance of the grant program
<b>Construction Related Costs</b>
Construction Costs

## Exhibit B: Risk Instructions and Template Assessment and Capability Evaluation

**Reminder:** The Risk Assessment submitted for the participating site must contain the information outlined in this exhibit including a risk assessment and capability assessment (note: separate tabs for each) in the template. **Assessments that do not contain the outlined information contained herein will not be evaluated.**

The application will be scored based upon review of information developed on potential threats, vulnerabilities, and consequences. Please refer to the 2013 National Infrastructure Protection at: <https://www.dhs.gov/national-infrastructure-protection-plan> (pages 15-20) for additional information on risk assessments.

### Risk Assessment Methodology

This assessment should be based on the risk management framework methodology and influenced by the nature and magnitude of the threat, the vulnerabilities that relate to that threat, and the consequences that could result from that threat. It should also include personal observations, analysis of documents, interviews, and/or photographic documentation. **For each area below, measurable statistics MUST be included:**

**THREAT:** For the purpose of calculating risk, the threat of an intentional hazard is generally estimated as the **likelihood of an attack being attempted** by an adversary or, for other hazards, an estimated likelihood that a hazard will manifest itself, that has or indicates the potential to harm life, information, operations, the environment, and or/property. Threat assessment judgments are based upon available intelligence (law enforcement and open source information). The facility should be viewed in terms of whether the nature of public contact required in or resulting from the conduct of business is adversarial, or whether there is a history of adversarial acts committed at the facility, against facility tenants, or against the tenant agencies elsewhere.

**VULNERABILITY:** For the purpose of calculating risk of an intentional hazard, the common measure of vulnerability is the **likelihood that an attempted attack is successful**. Focus is on physical features or operational attributes that renders an entity open to exploitation or is susceptible to a given hazard.

**CONSEQUENCE:** For the purpose of calculating risk, the consequence assessment is the effect of an event, incident, or occurrence; **reflects the level, duration, and nature of loss resulting from the incident**. Consequences are divided into four main categories: public health and safety (i.e. loss of life, illness); economic (direct and indirect); psychological; and governance/mission impacts.

## FY2020 Critical Infrastructure Grant Program Risk Assessment

### Government Owned Critical Infrastructure/ Mass Gathering/ Special Event Site Details

<b>Type of Government Owned Site (Critical Infrastructure or Mass Gathering/Special Event):</b>	Please Select Type of Site from Dropdown Menu
<b>Name of Government Owned Site Selected:</b>	
<b>Physical Address of Selected Site:</b>	
<b>Application Point of Contact:</b>	
<b>Assessment Completed By:</b>	
<b>Completion Date of Assessment:</b>	

### Mission

What is the general purpose of the Government Owned Critical Infrastructure or Mass Gathering/Special Event Site? Provide a brief description of the mission of the selected site.	
Based off the mission of the selected Government Owned Critical Infrastructure or Mass Gathering/Special Event Site, how does the site contribute or affect the primary functions of the community?	
Based off the mission of the selected Government Owned Critical Infrastructure or Mass Gathering/Special Event Site, how does the site contribute to or affect the primary functions of the County?	
Based off the mission of the selected Government Owned Critical Infrastructure or Mass Gathering/Special Event Site, how does the site contribute to or affect the primary functions of the State?	

### Threat

1) From the list provided below, select all threats deemed relevant to your facility based on the **THREAT** component of your risk assessment. Then in the "Narrative" section, please describe why you chose that threat and how it could affect your location and/or the larger community. See the Directions tab for possible factors to consider. Scoring for this section is worth a maximum of 10 points and is based on the completeness and quality of the narrative provided, not the quantity of threat(s) selected.

Threat (Manmade or Natural)	Narrative (Explain your selection here or in an attachment)
<input type="checkbox"/> Biological Agent Release	
<input type="checkbox"/> Active Shooter	
<input type="checkbox"/> Improvised Explosive Device (Man Portable or Vehicle Born IED)	
<input type="checkbox"/> Improvised Nuclear Device (IND)	
<input type="checkbox"/> Radiological Dispersal Device (RDD)	
<input type="checkbox"/> Food Contamination	
<input type="checkbox"/> HazMat Release	
<input type="checkbox"/> Radiological Release (Fixed-Site)	
<input type="checkbox"/> Vehicle-ramming Attack	
<input type="checkbox"/> Attack on Critical Infrastructure/Critical Infrastructure Failure	
<input type="checkbox"/> Extreme weather event (e.g. severe winter storm; flooding; high winds; etc.)	
<input type="checkbox"/> Population surges/crowd surges	
<input type="checkbox"/> Major Fire	
<input type="checkbox"/> Other (Explain in narrative portion)	

### Vulnerability

2) Please report the findings of the **VULNERABILITY** component of your risk assessment. Scoring for this section is worth a maximum of 10 points and is based on the completeness and overall quality of the narrative provided (2a-2c).

2a) Identify and describe specific vulnerabilities that exist given the selected threats ( <b>from the above Threats section</b> ).	
2b) Describe all protective measures in place and how they reduce the vulnerabilities identified in 2a.	
2c) Are there written plans such as Standard Operating Procedures (SOP), in place that address the vulnerabilities identified in 2a? If yes, please describe.	

### Consequence

3) Please report the findings of the **CONSEQUENCE** component of your risk assessment. Scoring for this section is worth a maximum of 10 points and is based on the completeness and overall quality of the narrative provided (3a-3d).

3a) Given the selected threat(s) and vulnerabilities, what are the estimated number of fatalities, injuries, and illness, if applicable?	
3b) What is the estimated economic loss in dollars, if applicable?	
3c) Please describe psychological impacts, if applicable.	
3d) Is there a continuity of operations plan or could other similar assets perform the key functions of the selected site? If yes, please briefly describe.	

## FY2020 Critical Infrastructure Grant Program Capability Evaluation

### Capability Evaluation

This section addresses the capabilities of the partnering agencies. Applicants should answer the questions below in a narrative format for all partnering agencies. Scoring for this section is worth a maximum of 20 points and is based on the completeness and overall quality of the narrative provided.

**Questions:** Identify all partnering agencies including name, address, and contact information. In the Narrative section, indicate 1) any combined planning or training with partnering agencies with respect to the selected site; 2) the estimated response times to the selected site by the partner agencies; 3) the equipment that partnering agencies already own that facilitate protection/response capabilities at the site; 4) the equipment that partnering agencies do NOT have that hinder prevention/response capabilities at the site; and 5) how the overall capability of partnering agencies will be enhanced by the requested goods/services.

Name, Address, and Contact information for 1st Partner Agency:

Name, Address, and Contact information for 2nd Partner

### Narrative (Provide here or in an attachment)

## Exhibit C: Examples of Government Owned Critical Infrastructure, Mass Gathering and Special Event Sites

In order to best support the purpose, goals, and objectives of the FY2020 CIGP, applicants should obtain a clear understanding of what government owned critical infrastructure and mass gathering/special event sites can be.

For the purposes of this grant application, government owned critical infrastructure and mass gathering/special event sites can be any asset owned or leased by a government entity where events can occur and draw crowds. Some of these assets can be open to the public for business, commercial transactions, or recreation. Others may not be open to the public and contain highly sensitive materials and equipment.

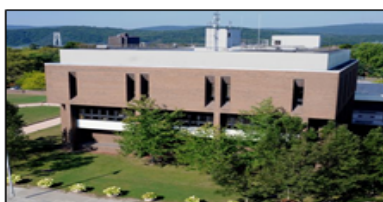
These assets may not only be physical structures. Applicants should consider the automation elements associated with the operation and protection of government owned critical infrastructure.

Examples include, but are not limited to:

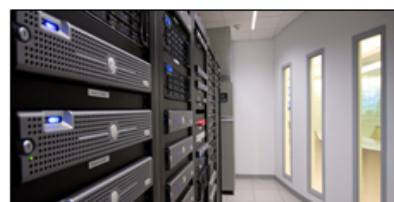
- Seat of government or critical government facilities
- Water treatment facilities
- Government communications infrastructure systems
- Critical emergency services facilities
- Transportation (airports, roadways, maritime)
- Government public health facilities
- Government owned (or leased) mass gathering/special event sites
  - Including, but not limited to, parks, sporting venues, performance arts venues, festivals, government owned fairgrounds, and other reoccurring event sites.



**Transportation**  
Greater Binghamton Airport



**Municipal Buildings**  
Poughkeepsie City Hall & City Court



**Information Technology**  
Server rooms, supporting infrastructure



**Stadiums, Arenas and other Venues**  
Ralph Wilson Stadium (owned by Erie County)



**Access Control and Security**

## **Exhibit D: Best Practices for Preparing an Effective Grant Application**

### ***What to do when you have received the Request for Applications (RFA):***

- It is important to start early in preparing your application, highlighting deadlines and/or tasks that must be completed as part of the application process.
- Review all plans, strategies, policies, and documents related to the grant you are applying for to ensure you can appropriately address the goals and objectives pertaining to the nature of the grant opportunity.

### ***What to do when you are completing the application:***

- Ensure that the proposed budget is realistic, reasonable, and articulate how your budget will address the objectives of the grant opportunity.
- Review and evaluate the scoring criteria. Pay close attention to the sections that are weighted the most first, as they have a greater impact on your overall score.
- If your grant application requires you to reference goals and/or objectives, make sure the goals and objectives you cite are measurable. Goals should reflect the long-term and global impact of a program or project. Meanwhile, objectives should be specific and measurable building blocks designed to meet your goals.
- Create an evaluation plan that demonstrates how you will assess your proposed projects for effectiveness and/or meeting the objectives of the grant opportunity, even if such a plan is not required.
- Address steps that will be taken to institutionalize, sustain, or enhance the capabilities or proposed project being developed after grant funding has been exhausted.

### ***What to do prior to submitting your application:***

- Make sure that you have completed all the required sections of the application. Applicants are strongly recommended to share their completed applications with a colleague to ensure that the application is clearly written and addresses all the objectives of the grant opportunity.