ALBANY COUNTY SHERIFF'S OFFICE

County Court House Albany, New York 12207 (518) 487-5400
WWW.ALBANYCOUNTYSHERIFF.COM

CRAIG D. APPLE, SR.
SHERIFF

MICHAEL S. MONTELEONE
EXECUTIVE UNDERSHERIFF

SHAWN P. NOONAN
CHIEF DEPUTY

WILLIAM M. RICE
UNDERSHERIFF

LEON A. BORMANN
CHIEF DEPUTY

November 24, 2020

Honorable Andrew Joyce
Legislative Clerk's Office
112 State Street, Room 710
Albany, New York 12207

Dear Mr. Joyce:

The attached correspondence is forwarded for presentation to the Albany County Legislature.

Legislative approval is required in order to allow Albany County to apply for grant funding from the State of New York, Division of Homeland Security and Emergency Services, 2019 Cyber Security Grant Program.

The grant application for the Albany County Sheriff's Office is a maximum of $50,000.00, with no match. These grant funds, if awarded, will be utilized for the purchase of equipment in the operations of detecting, identifying and prosecuting cybercrimes.

The performance period for this grant is from the date of contract execution to 08/31/22.

There are no matching funds required.

Should there be any questions, do not hesitate to call.

Sincerely,

Craig D. Apple, Sr.
Sheriff

Att.

cc: Hon. Daniel P. McCoy, County Executive
Hon. William Clay, Public Safety Chairman
Hon. Wanda Willingham, Audit & Finance Committee
Brandon Russell, Esq., Majority Counsel
Arnis Zilgme, Esq., Minority Counsel
Christian Barnes, Minority Conference

FOR COUNSEL USE ONLY
DATE:
RECEIVED:
RECEIVED BY:
METHOD: HAND
COURIER
MAIL

REQUEST FOR LEGISLATIVE ACTION

DATE : **NOVEMBER 25, 2020**

DEPARTMENT: **ALBANY COUNTY SHERIFF'S OFFICE**

CONTACT PERSON: **SHERIFF CRAIG D APPLE SR**
TELEPHONE: **518-447-5440**
DEPT. REPRESENTATIVE ATTENDING
COMMITTEE MEETING: **CRAIG D APPLE SR**

PURPOSE OF REQUEST:

ADOPTION OF LOCAL LAW	
AMENDMENT OF PRIOR LEGISLATION	
APPROVAL/ADOPTION OF PLAN/PROCEDURE	
BOND APPROVAL	
BUDGET AMENDMENT (SEE BELOW)	
CONTRACT AUTHORIZATION (SEE BELOW)	
ENVIRONMENTAL IMPACT	
HOME RULE REQUEST	
PROPERTY CONVEYANCE	
OTHER: (STATE BRIEFLY IF NOT LISTED ABOVE)	X

APPLICATION TO NYS DIVISION OF HOMLAND SECURITY FOR THE 2019 CYBER SECURITY GRANT PROGRAM

CONCERNING BUDGET AMENDMENTS STATE, THE FOLLOWING

INCREASE ACCOUNT/LINE NO.
SOURCE OF FUNDS:
TITLE CHANGE:

CONCERNING CONTRACT AUTHORIZATION, STATE THE FOLLOWING:

TYPE OF CONTRACT

CHANGE ORDER/CONTRACT AMENDMENT		
PURCHASE (EQUIPMENT/ SUPPLIES)		
LEASE (EQUIPMENT/SUPPLIES)		
REQUIREMENTS		
PROFESSIONAL SERVICES		
EDUCATIONAL/TRAINING		
GRANT: NEW	X	
RENEWAL		
SUBMISSION DEADLINE DATE		
SETTLEMENT OF A CLAIM		
RELEASE OF LIABILITY		
OTHER: (STATE BRIEFLY)		

CONCERNING CONTRACT AUTHORIZATION (CONT'D)

STATE THE FOLLOWING:

CONTRACT TERMS/CONDITIONS: **PARTY (NAME/ADDRESS):**

NYS DIVISION OF HOMELAND SECURITY
1220 WASHINGTON AVE., STATE CAMPUS BUILDING 7A
ALBANY, NY 12242

AMOUNT/RATE SCHEDULE/FEE:
UP TO $ 50,000.00 (NO MATCH)

TERM: 9/1/2020 THRU 8/31/2022

SCOPE OF SERVICES: **THESE FUNDS WILL BE USED FOR THE PURCHASE OF EQUIPMENT TO BE USED TO HELP DETECT, IDENTIFY AND PROSECUTE CYBERCRIMES**

CONTRACT FUNDING:

ANTICIPATED IN CURRENT BUDGET: YES ____ NO X
FUNDING SOURCE: **NYS DIVISION OF HOMELAND SERCUITY**

COUNTY BUDGET ACCOUNTS:
REVENUE: **A33310.03306**

APPROPRIATION: **A93110.22750**
BOND(RES. NO. & DATE OF ADOPTION)

CONCERNING ALL REQUESTS:

MANDATED PROGRAM/SERVICE: YES ____ NO X
IF MANDATED CITE: AUTHORITY
ANTICIPATED IN CURRENT ADOPTED BUDGET: YES ____ NO X
IF YES, INDICATE REVENUE APPROPRIATION ACCOUNTS:

FISCAL IMPACT - FUNDING: (DOLLARS OR PERCENTAGES)
FEDERAL
STATE **100%**
COUNTY
TERM/LENGTH OF FUNDING

PREVIOUS REQUESTS FOR IDENTICAL OR SIMILAR ACTION:
RESOLUTION/LAW NUMBER:
DATE OF ADOPTION:

JUSTIFICATION: (STATE BRIEFLY WHY LEGISLATIVE ACTION IS REQUESTED)
FUNDS WILL BE USED TO PURCHASE EQUIPMENT WHICH WILL HELP IN DETECTING AND IDENTIFYING CYBERCRIMES

BACK-UP MATERIAL SUBMITTED (I.E. APPLICATION/APPROVAL NOTICES FROM FUNDING SOURCE, BID TABULATION SHEET, CIVIL SERVICE APPROVAL NOTICE, PROGRAM ANNOUNCEMENT, CONTRACTS AND/OR ANY MATERIALS WHICH EXPLAIN OR SUPPORT THE REQUEST FOR LEGISLATIVE ACTION.)

SUBMITTED BY: **CRAIG D APPLE SR**
TITLE: **SHERIFF**

NEW YORK STATE | Homeland Security and Emergency Services

FY2019 Cyber Security Grant Program: Request for Applications (RFA)

Application Deadline: January 6, 2021 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 December 30, 2020.

Technical Assistance for E-Grants will not be available after 5:00 pm on January 6, 2021.

Services programs that are being offered at no cost to the Counties. For additional information on these programs please email: info@elections.ny.gov.

IV. Authorized Program Expenditures

A. Permissible Costs

Grant funding under the FY2019 Cyber Security Grant Program may be used for certain planning, equipment, training and exercise costs allowable under the State Homeland Security Program (SHSP). ***Applicants should refer to Exhibit A, "Allowable Costs Matrix" for detailed information on allowable costs.***

Examples of projects that are in line with the grant program include, but are not limited to, the following:

1. **Planning:**
   - Costs associated with the development of plans to include the hiring of consultants[1] to identify potential vulnerabilities and develop risk mitigation plans

2. **Equipment:**
   - Software packages including firewalls, anti-virus applications and malware protection;
   - Network equipment including servers;
   - Encryption software;
   - Intrusion detection systems;
   - Hardware components that will provide protection against cyber threats;
   - Physical security measures including cameras and access control for protection of IT hardware and equipment

3. **Training:**
   - Training initiatives, including overtime and backfill costs;
   - Costs associated with the development and delivery of cyber awareness training to staff at the user level

4. **Exercises:**
   - Costs associated with the design, development, execution, and evaluation of exercises (regionally or locally) to determine the viability of new or pre-existing capabilities.

Note: The sample list above is not fully inclusive. Please note that equipment purchases must be allowable per the Authorized Equipment List located at: (https://www.fema.gov/grants/guidance-tools/authorized-equipment-list).

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[1] *Under the Cyber Security Grant Program, as with all SHSP funding, there is a 50% cap on personnel costs. Personnel Costs include OT/Backfill for Training and Exercises and most consultant costs (unless the consultant is developing defined deliverables or installing equipment.)*

2. **Basic 6 CIS Critical Security Controls Assessment:** As outlined above, the FY2019 Cyber Security Grant Program has adopted the "Basic 6" Critical Security Controls Assessment Tool, as defined by the Center for Internet Security's (CIS) Top 20 Critical Security Controls (CSC) version 7.1. Applicants should familiarize themselves with this tool via the "ReadMe" sheet of the RFA Worksheet. To use the tool, select responses from the drop-down menus for each CSC Detail under "Control Implemented" on the sheets labeled CSC #1 - CSC #6. As responses are provided, the assessment tool will automatically generate scores for each control, as well as other metrics on the "Dashboard" sheet. By periodically updating the responses in this assessment, your organization can measure its progress in closing implementation gaps associated with the Basic 6 CIS Critical Security Controls. Please refer to the "CSC Guidance" sheet, which is also linked from each of the control response sheets, for more for information about the CIS controls and why they are each important to your organization. The "CSC Guidance" sheet may also be helpful in determining what types of products/services may be useful in closing vulnerability gaps identified from this assessment tool, and in turn may be used to guide budget requests under the grant program.

3. **Proposed FY2019 Budget Plan:** Applicants must list each project within the budget in order of priority (Project #1 being most critical, etc.) based on the submission of the budget details in the "Budget" tab of E-Grants, as well as the RFA Worksheet. For each project, applicants must select a project title, provide a project description and outline proposed expenditures within each of the allowable spending categories (*Federal Spending Category* and *NYS Budget Category*). There is no cap on the number of projects that may be submitted, but the total request for the FY2019 Cyber Security Grant Program funding cannot exceed **$50,000**.

   The total costs identified in the budget plans will be reviewed for reasonable and necessary expenses, and whether they align with the objectives of this grant. The review panel will also reference the "Capability Advancement" section of the RFA Worksheet to ensure that projects requested in the "Budget" section address gaps identified from the embedded CSC Assessment Tool or otherwise justified by the applicant.

   - ***NOTE: Please ensure the budget amounts reflected in the RFA Worksheet correspond to the amounts entered in your E-Grants Application. Inconsistencies in your application documents may lead to a reduction in your score.***

4. **Capability Advancement:** Applicants must provide a brief description of their current cyber security capabilities and highlight how the proposed projects in their budget for this grant program will address identified capability gaps and improve their overall cyber security posture. Please indicate any combined coordination, planning or training with external agencies or organizations with respect to cyber security. Applicants should describe their organization's existing measures that focus on prevention and response to disruptions of the confidentiality, integrity, and availability of their information systems. Applicants shall also indicate, as clearly as possible, how the overall capability of the organization will be enhanced by the requested goods/services outlined in their proposed budget plan.

Applicants will be prompted to select the applicable Critical Security Control and Sub-Control to be enhanced by each project. Applicants will also be prompted to identify and describe the following components for each of their requested budget items: current capabilities, current gaps, what attempts have previously been made to address those gaps and how their proposed projects will close those gaps.

- ***NOTE: Applications seeking funding for Projects that fall outside the scope of the Basic 6 Controls will be considered, however, strong justification for such Projects must be made in your application.***

5. **Multi-Year Planning:** Applicants must provide a Multi-Year Plan that communicates how capabilities (including the maintenance of equipment) will be developed under this grant program and how those capabilities will be enhanced and/or sustained after the successful completion of the projects proposed in your application upon the conclusion of the performance period (August 31, 2022).

6. **Overall Assessment of Application:** Under the FY2019 Cyber Security Targeted Grant Program, applicants will receive up to ten (10) points based on their "Overall Assessment of Application Score." This score will be determined by the reviewers based on a complete assessment of the application. Reviewers will assess how well the application addresses the five primary objectives of the FY2019 Cyber Security Grant Program.

   - **Grant Management Performance History:** Per the new Code for Federal Regulations (CFR) 2 CFR Part 200, DHSES is required to assess the risk posed by sub-recipients 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 ten (10) points based on its "Grant Management Performance History" criteria.

7. **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 have not been previously funded under the Cyber Security Grant Program. All previously unfunded applicants will be awarded five (5) Bonus Points which will be added to their overall application score.

VI. Application Evaluation Criteria

The following multi-tiered criteria will be used by a committee selected by DHSES to evaluate each application and to determine the best applications for recommendation to the Commissioner to receive grant awards. 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 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

The anticipated period of performance for contracts supported by **FY2019 Cyber Security Grant Program** funds will be determined once awards have been approved but cannot extend beyond ***August 31, 2022***. Although the contract format may vary, the contract, or RFA, if applicable will include such standard terms and conditions included in DHSES grant contracts available for review on the DHSES website: http://www.dhses.ny.gov/grants/forms-egrants.cfm.

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: http://www.dhses.ny.gov/grants/forms-egrants.cfm.

A detailed tutorial on how to use the E-Grants system can also be found at the following Internet address: http://www.dhses.ny.gov/grants/targeted.cfm. 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;

Exhibit A: Allowable Costs Matrix

Reminder: Allowable costs for the FY2019 Cyber Security Grant Program are more restrictive than the more general State Homeland Security Program (SHSP) because of the specialized nature of this targeted grant program. Please note that Organizational, Management & Administrative (M&A) as well as Construction costs, and the hiring of Personnel are not allowable under the FY2019 Cyber Security Grant Program.

Personnel Cap: Under the FY2019 Cyber Security Grant Program, there is a 50% cap on personnel costs. Personnel Costs include OT/Backfill for Training and Exercises and most Consultant Costs (unless the consultant is developing defined deliverable or installing equipment).

Planning Costs
Public education & outreach
Develop and enhance plans and protocols
Develop and conduct assessments
Hiring of contractors/consultants to assist with planning activities
Conferences to facilitate planning activities
Materials required to conduct planning activities
Travel/per diem related to planning activities
Overtime, backfill and fringe costs
Equipment Categories AEL link: https://www.fema.gov/authorized-equipment-list
Biometric User Authentication Devices
Remote Authentication Systems
Encryption Software
Data Transmission Encryption Systems
Forensic Software (for purposes of analysis and investigation of cyber-related incidents)
Malware Protection Software
Firewalls (Personal and Network)
Intrusion Detection/Prevention System
Vulnerability Scanning Tools
Hardware, Computer, Integrated (hardware components that will protect against cyber security threats)
Other Items
Training Costs
Overtime & backfill for personnel attending FEMA-sponsored & approved training classes & technical assistance programs
Training workshops & conferences
Travel
Hiring of contractors/consultants
Supplies

Exercise Costs
Design, Develop, Conduct & Evaluate an Exercise
Exercise planning workshop
Hiring of contractors/consultants
Overtime & backfill costs, including expenses for personnel participating in FEMA exercises
Implementation of HSEEP
Travel
Supplies

Unallowable Costs

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
Overtime for information, investigative, & intelligence sharing activities
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis & sharing groups or fusion center activities
All Construction Costs