

VERMONT HOMELAND SECURITY UNIT MEMORANDUM



TO: Vermont's Nonprofit Community
FROM: Commissioner Thomas Anderson, Homeland Security Advisor
Vermont Homeland Security Unit
DATE: May 16, 2018
SUBJECT: Nonprofit Security Grant Program (NSGP) Notice of Funding
Opportunity Vermont Nonprofits to support for physical security
enhancements and target hardening.
CFDA: 97.008 Nonprofit Security Grant Program (NSGP)
Initial Announcement

The Vermont Homeland Security Unit (VTHSU) within the Vermont Department of Public Safety (VT DPS) is seeking applications for the project described herein. This funding, provided through the Nonprofit Security Grant Program (NSGP), will offer funding to eligible nonprofit organizations in the State of Vermont to support physical security enhancements and target hardening activities.

The NSGP provides funding support for physical security enhancements and target hardening to nonprofit organizations that are at high risk of a terrorist attack. The program seeks to integrate the preparedness activities of nonprofit organizations that are at high risk of a terrorist attack with broader state and local preparedness efforts. The NSGP also promotes emergency preparedness coordination and collaboration activities between public and private community representatives, as well as state and local government agencies.

Eligibility:

An eligible nonprofit organization under the FY 2018 NSGP is:

1. An organization Described under section 501(c)(3) of the Internal Revenue Code of 1986 (IRC) and exempt from tax under section 501(a) of such code; refer to links below for additional information:
 1. <https://www.irs.gov/charities-non-profits/charitable-organizations/exemption-requirements-section-501-c-3-organizations>
 2. <https://www.irs.gov/publications/p557/ch03.html>
 3. <https://www.irs.gov/charities-non-profits>

Note: The Internal Revenue Service (IRS) does not require certain organizations such as churches, mosques, and synagogues to apply for and receive a recognition of exemption under section 501(c)(3) of the IRC. Such organizations are automatically exempt if they meet the requirements of section 501(c)(3). These organizations are not required to provide recognition of exemption. For organizations that the IRS requires to apply for and receive a recognition of exemption under 501(c)(3), the state may or may not require recognition of exemption, as long as the method chosen is applied consistently.

2. Tax exempt organizations determined to be at high risk of terrorist attack due to their ideology, beliefs, or mission.

Overview of NSGP Allowable Costs:

1. **Target Hardening** - NSGP funding can be used for the acquisition and installation of security equipment on real property, specifically in prevention of and/or protection against the risk of terrorist attack. Allowable equipment is limited to two categories within the Authorized Equipment List (AEL):
https://www.fema.gov/authorized-equipment-list?combine=&field_ael_category_tid%5B%5D=9529&=GO
 - Physical Security Enhancement Equipment (AEL Category 14)
 - Inspection and Screening Systems (AEL Category 15)
2. **Security Related Training** - NSGP funds may be used for security-related training courses and programs. Allowable training-related costs are limited to attendance fees for training, and related expenses such as materials, supplies, and/or equipment.

3. **Construction/Renovation** - For construction costs to be allowed, they must be specifically approved by FEMA in writing prior to the use of any NSGP program funds for construction or renovation.

Application review will be completed by the Nonprofit Security Working Group. Grant awards will enhance the equipment rating within the Stakeholder Preparedness Review for the Core Capability of Infrastructure Systems, as defined below.

Core Capability: Infrastructure Systems

Capability Definition: Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.

If requests for funding exceed the available amount, requests will be prioritized and awards will be made based on the need identified in the applications submitted.

Applications will not be reviewed unless all requirements are met at the time of application review. This includes signatures by all appropriate parties on the cover page. Assistance in completing the application can be obtained by contacting Natalie Elvidge (Natalie.Elvidge@vermont.gov) or (802) 241-5445.

All applications must be RECEIVED at the Department of Public Safety office by **Wednesday, May 30, 2018 at 3:00 p.m. EST**. Proposals received after this date and time will NOT be eligible for consideration. Submit complete application to:

Financial Administrator:

Richard Deschamps (Richard.Deschamps@Vermont.gov)

Important Information for Applicants:

1. Applications for funding must be received, approved and a grant agreement executed (signed by a DPS representative) *prior to expenditure of grant funds*
2. Organizations receiving funding approved by the Working Group are subject to programmatic monitoring and/or financial audits conducted by the Department of Public Safety or U.S. Department of Homeland Security.
3. The Working Group may require the signing of a Memorandum of Understanding for equipment designated for multi-agency use.
4. Misrepresentation or misuse of any equipment granted under these guidelines shall be subject to prosecution.
5. If applying for equipment, all requested equipment must be listed on the Federal Authorized Equipment List (AEL). Applications will be reviewed for geographical coverage and current placement of equipment. The AEL# must be included in the application. Allowable equipment is limited to two categories within the Authorized Equipment List (AEL): https://www.fema.gov/authorized-equipment-list?combine=&field_ael_category_tid%5B%5D=9529&=GO
 - a. Physical Security Enhancement Equipment (AEL Category 14)
 - b. Inspection and Screening Systems (AEL Category 15)
6. The Applicant will submit a Program Progress Report Form detailing status of performance measures and project progress.
 - a. A completed Program Progress Report Form must be submitted each time reimbursement is requested or bi-annually, at a minimum. The reporting periods are July 1 - December 31 (due January 15), January 1 – June 30 (due July 15). A final report is due within 30 days of the end date of this grant agreement.
 - b. Program Progress Report Form is required even if no activity has been performed on the project.
 - c. Blank and incomplete Program Progress Report Forms will not be accepted.
 - d. The State reserves the right to withhold part or all grant funds if the State does not receive timely documentation of the successful completion of grant deliverables.
 - e. Organizations will submit a Program Progress Report Form detailing completion of specific training completed in relation to the equipment purchased.
7. The Applicant will ensure that this project is fully operational within the Period of Performance and report back to the DPS Financial Administrator when it is so.
8. Organizations receiving funds will be required to comply with the following performance measures:
 - a. Organizations will ensure that all members utilizing equipment (if applicable) provided by this grant will be trained to the appropriate level to utilize the equipment and the Subrecipient will maintain records of training.
 - b. Organizations will ensure that equipment is accounted for throughout its operational lifetime.
 - i. A Property Records List must be submitted with the initial application and updated/maintained per Code of Federal Regulations. A template Property Records List that meets these requirements can be found on the VTHSU website (<http://hsu.vermont.gov/homeland-security-unit/funding-opportunities>)
 - ii. This can be combined with the agency's ongoing asset list, however, items purchased with NSGP funds must be identified as such.

1. If the organizations ongoing asset list is utilized, then 2 CFR 200.313 Code of Federal Regulations must be referenced to ensure that all categories detailed are utilized, as required.
 2. All equipment over \$5,000.00 per unit price, as well as electronics and IT related equipment, purchased through this grant must be included on the Property Records List.
9. The Applicant will inform the DPS Financial Administrator and Program Manager in writing of any delays, proposed equipment substitutions or desired changes to the physical/geographic deployment, concept of operations, equipment substitutions, and/or technical specifications in order to determine if an amendment to this agreement is warranted.
 - a. If an amendment to this agreement is necessary, no purchases or work may be completed under the adjusted scope of the agreement until the amendment has been executed.
10. The Applicant will ensure that all purchases are invoiced no later than 30 days before the end of the period of performance.
11. The Applicant will comply with Attachment E (Funding Source Special Conditions). Attachment E may be updated as necessary when grant agreements are executed.
12. The Applicant agrees that grant funds awarded will be used to supplement existing funds for program activities, and will not supplant (replace) non-Federal funds. Subrecipients must be able to document local/state funds were not supplanted with funds from this award (for example: personnel expenses must be supported with actual budget allocations that include this funding source).

* Federal equipment threshold is \$5,000.00. Please reference Federal equipment compliance requirements. Subrecipients must follow their own procurement policy unless the Federal and State requirements are more restrictive.

** Current Indirect Rate Approval Letter (under 2 CFR 200.331(a)(4) must be on file with DPS. It is also important to note that indirect rates may be subject to statutory caps of the Federal program which supersede the requirements of the Uniform Guidance. Refer to Bulletin 5 for further guidance.
13. During the performance of this Agreement, any of the cost categories may be increased or decreased by up to 10% with prior written approval from the DPS Financial Office contact shown on page 1. Approval may be authorized provided:
 - a. The request is within the Total Award Amount in effect at the time of the adjustment.
 - b. The request does not change the Scope of Work.
14. The total dollar amount for this funding opportunity is limited and while the Working Group would like to fund all projects, they most likely will not be able to, so please be realistic and consider sustainability while developing your applications.

GRANT APPLICATION GUIDELINES & REQUIREMENTS:

Application packages must include and/or meet all of the requirements outlined in this Grant Application Checklist.

Grant Application Checklist:

<i>ALL APPLICATIONS MUST CONTAIN THE FOLLOWING TO BE CONSIDERED:</i>	✓
Completed Vermont Sub-grant Application: <ul style="list-style-type: none">i. All sections of the application must be complete.ii. The Application Cover Sheet must include (2) signatures (Authorizing Official and Fiscal Contact). Please note that the Authorizing Official and Fiscal Contact cannot be the same person.iii. The Application can be found by accessing the following link: http://hsu.vermont.gov/homeland-security-unit/funding-opportunities	
If applying for Limited Cash Advance, a copy of agency's Cash Advance Policy, meeting the Cash Advance requirement listed below, must be included in the application: <ul style="list-style-type: none">i. If your project is too large for your agency to accomplish in a reimbursement (after-the-fact) in arrears of expenses, you may request pre-payment on a "Limited Cash Advance" basis. Check the box in 8a and provide justification for consideration. A possible justification may be a large required purchase by a low-budget agency or organization. Large purchases as the sole justification will not be approved.ii. If requesting a cash advance, your Agency's cash advance policy must be included in your application and meet the following requirement: A subrecipient must have procedures in place to be compliant with 2 CFR 200.305 as well as 15 USC 1601 Electronic Fund Transfer Act. The subrecipient must deposit cash advance in an interest bearing account (with some regulatory exceptions) and report any federal grant interest annually to the U.S. Department of Human Services, Payment Management Division.	
Equipment Quotes (<i>if applying for equipment</i>): <ul style="list-style-type: none">i. Three (3) quotes must be submitted for all single items valued at more than \$100.00 per unit. Because the Code of Federal Regulations, 2 CFR part 225, requires full and open competition while procuring grant-funded equipment, a sub-recipient must obtain and provide multiple quotes for any equipment purchased with federal funds. Geographical preference and/or sole source will not be sufficient to comply with the competitive procurement requirements.ii. If (3) quotes are not provided, the applicant must explain the reason why three quotes were not submitted.iii. The applicant must indicate in their application the AEL# of any requested equipment.	
Completed Property Records List provided (<i>if applicable</i>): <ul style="list-style-type: none">i. The Property Records List should include all Homeland Security Grant Program funded purchases that have not exceeded their useful life. If you are requesting new equipment, a Property Records List is not required, but this must be noted in your application that equipment is new.ii. The Property Records List should include all items you are seeking replacement of, regardless of whether or not they were purchased with grant funds.	

<ul style="list-style-type: none"> iii. All fields must be completed, including location. Location should be specific location of the equipment, not just the name of the department. If location is a vehicle, please include the vehicle plate number and use of the vehicle. iv. A template for the Property Records List can be found by accessing the following link: http://hsu.vermont.gov/homeland-security-unit/funding-opportunities 	
<p>Procurement Standards provided</p> <ul style="list-style-type: none"> i. Subrecipients will use their own procurement procedures that reflect applicable local laws and regulations, if the procurements conform to applicable Federal law and the standards identified in 2 CFR part 200: (http://www.ecfr.gov/cgi-bin/text-idx?SID=289fd4edcc40f3b0cb6a4bd62aa39dbf&node=pt2.1.200&rgn=div5). ii. A copy of the procurement procedures must be submitted with the application. 	
<p>Certificate of Insurance (COI) with current coverage:</p> <ul style="list-style-type: none"> i. All applications must include a copy of your Certificate of Insurance validating current insurance coverage that meets the limits listed below. ii. Before commencing work with NSGP funds, applicants must provide certificates of insurance to show that the following minimum coverages are in effect. It is the responsibility of the Party to maintain current certificates of insurance on file with the state through the term of the Agreement. No warranty is made that the coverages and limits listed herein are adequate to cover and protect the interests of the Party for the Party's operations. These are solely minimums that have been established to protect the interests of the State. <p style="margin-left: 40px;"><u>Workers Compensation:</u> With respect to all operations performed, the Party shall carry workers' compensation insurance in accordance with the laws of the State of Vermont.</p> <p style="margin-left: 40px;"><u>General Liability and Property Damage:</u> With respect to all operations performed under the contract, the Party shall carry general liability insurance having all major divisions of coverage including, but not limited to:</p> <p style="margin-left: 40px;">Premises - Operations Products and Completed Operations Personal Injury Liability Contractual Liability</p> <p style="margin-left: 40px;">The policy shall be on an occurrence form and limits shall not be less than: \$1,000,000 Per Occurrence \$1,000,000 General Aggregate \$1,000,000 Products/Completed Operations Aggregate \$ 50,000 Fire/ Legal/Liability</p> <p style="margin-left: 40px;">Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.</p> <p style="margin-left: 40px;"><u>Automotive Liability:</u> The Party shall carry automotive liability insurance covering all motor vehicles, including hired and non-owned coverage, used in connection with the Agreement. Limits of coverage shall not be less than: \$1,000,000 combined single limit.</p> <p style="margin-left: 40px;">Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement</p>	
<p>NIMS Compliant:</p> <p>All organizations applying for Homeland Security funds must comply with National Incident Management System (NIMS) activities set forth in Vermont's NIMS Implementation Plan.</p>	

<p>The Vermont NIMS Implementation Plan can be found here: http://vem.vermont.gov/programs/nims.</p>	
<p>Financial risk assessment survey complete:</p> <ol style="list-style-type: none"> i. To meet the Code of Federal regulations, the Vermont Department of Public Safety requires all organizations to complete a financial risk assessment survey. The financial risk assessment survey should be completed by your agency's fiscal agent annually. ii. The applicant must have completed the following and not have been identified as high risk: https://www.surveymonkey.com/r/VTDPSSrisky iii. The Department of Public safety will validate that each agency has completed the Financial Risk Assessment Survey. Applications received by organizations not in compliance will not be reviewed. 	
<p>The applicant must not be listed on the suspended and debarred list:</p> <ol style="list-style-type: none"> i. The Department of Public Safety will validate that each agency is not on the suspended and debarred list. Applications received by organizations not in compliance will not be reviewed. 	
<p>The applicant must not be listed on the Restricted Parties List:</p> <ol style="list-style-type: none"> i. The Department of Public safety will validate that each agency is not on Department of Public Safety Restricted Parties List. Applications received by organizations on the Restricted Parties List will not be reviewed. 	
<p>DUNS:</p> <ol style="list-style-type: none"> i. Applicants must have a valid DUNS number. If your agency or nonprofit does not have a DUNS (Data Universal Numbering System) number, go to Dun and Bradstreet's website and obtain a DUNS https://www.dandb.com/free-duns-number/ after your DUNS is activated then you need to register your DUNS in the System for Award Management website at https://www.sam.gov/portal/SAM/#1. 	
<p>FFATA:</p> <ol style="list-style-type: none"> i. Applicants must be currently registered with the System for Award Management (SAM) per the Federal Funding Accountability and Transparency Act (FFATA) (https://www.sam.gov/portal/public/SAM/). 	

Application Evaluation and Scoring Criteria may look similar to the example below:

FISCAL YEAR (FY) 2017 NONPROFIT SECURITY GRANT PROGRAM (NSGP) INVESTMENT JUSTIFICATION SCORING WORKSHEET	
State	<input style="width: 90%;" type="text"/>
Urban Area	<input style="width: 90%;" type="text"/>
Name of the Nonprofit Organization	<input style="width: 90%;" type="text"/>
FY 2017 NSGP Federal Funding Request	<input style="width: 90%;" type="text"/>
<i>Scoring Legend</i>	
Did Not	The applicant provided no response
Poor	The applicant's response is incomplete and does not address all of the required information
Partial	The applicant's response is complete but minimally addresses all of the required information
Adequate	The applicant's response is complete and moderately addresses all of the required information
Thorough	The applicant's response is complete and fully addresses all of the required information
<i>I. Applicant Information (Unscored)</i>	
1. Did the applicant provide all of the required information in the Applicant Information Section ? <div style="display: flex; margin-top: 5px;"> <div style="width: 50px;"> No The applicant did not provide all of the required information Yes The applicant did provide all of the required information </div> <div style="margin-top: 15px;"> <input style="width: 50px; height: 20px;" type="text"/> </div> </div>	
<i>II. Background (Total of 2 possible points)</i>	
2. Did the applicant provide a description of their nonprofit organization to include: <ul style="list-style-type: none"> ▪ Symbolic value of the site as a highly recognized national or historical institution or significant institution within the community that renders the site as a possible target of terrorism ▪ Any role in responding to or recovering from terrorist attacks <div style="margin-top: 10px;"> 0 = The applicant did not provide a response to all of the required information regarding their nonprofit organization 1 = The applicant provided some of the required information regarding their nonprofit organization 2 = The applicant provided all of the required information regarding their nonprofit organization </div> <div style="margin-top: 10px;"> <i>Score</i> <input style="width: 50px; height: 20px;" type="text"/> </div>	
<i>III. Risk (Total of 12 possible points)</i>	
3. In considering threat, how well did the applicant address findings from previously conducted risk assessments, police reports, and/or insurance claims? <div style="margin-top: 10px;"> 0 = The applicant did not address findings from previously conducted risk assessments, police reports, and/or insurance claims 1 = The applicant poorly addressed findings from previously conducted risk assessments, police reports, and/or insurance claims 2 = The applicant partially addressed findings from previously conducted risk assessments, police reports, and/or insurance claims 3 = The applicant adequately addressed findings from previously conducted risk assessments, police reports, and/or insurance claims 4 = The applicant thoroughly addressed findings from previously conducted risk assessments, police reports, and/or insurance claims </div> <div style="margin-top: 10px;"> <i>Score</i> <input style="width: 50px; height: 20px;" type="text"/> </div>	

FISCAL YEAR (FY) 2017 NONPROFIT SECURITY GRANT PROGRAM (NSGP)
INVESTMENT JUSTIFICATION SCORING WORKSHEET

4. In considering vulnerabilities, how well did the applicant describe the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack?

- 0 = The applicant **did not** address the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 1 = The applicant **poorly** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 2 = The applicant **partially** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 3 = The applicant **adequately** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 4 = The applicant **thoroughly** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack

Score

5. In considering potential consequences, how well did the applicant address potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack?

- 0 = The applicant **did not** address potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 1 = The applicant **poorly** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 2 = The applicant **partially** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 3 = The applicant **adequately** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 4 = The applicant **thoroughly** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack

Score

IV. Target Hardening (Total of 14 possible points)

6. How well does the proposed target hardening activity mitigate the identified risk(s) and/or vulnerabilities?

- 0 = The applicant **did not** provide a description of how the proposed target hardening activity will mitigate the identified risk(s)
- 1 = The applicant provided a **poor** description of how the proposed target hardening activity will mitigate the identified risk(s)
- 2 = The applicant provided a **partial** description of how the proposed target hardening activity will mitigate the identified risk(s)
- 3 = The applicant provided an **adequate** description of how the proposed target hardening activity will mitigate the identified risk(s)
- 4 = The applicant provided a **thorough** description of how the proposed target hardening activity will mitigate the identified risk(s)

Score

7. Did the applicant's proposed target hardening activity focus on the prevention of and/or protection against the risk of a terrorist attack?

- 0 = The applicant's target hardening activity **did not** focus on the prevention of and/or protection against the risk of a terrorist attack
- 1 = The applicant's target hardening activity **poorly** focused on the prevention of and/or protection against the risk of a terrorist attack
- 2 = The applicant's target hardening activity **partially** focused on the prevention of and/or protection against the risk of a terrorist attack
- 3 = The applicant's target hardening activity **adequately** focused on the prevention of and/or protection against the risk of a terrorist attack
- 4 = The applicant's target hardening activity **thoroughly** focused on the prevention of and/or protection against the risk of a terrorist attack

Score

**FISCAL YEAR (FY) 2017 NONPROFIT SECURITY GRANT PROGRAM (NSGP)
INVESTMENT JUSTIFICATION SCORING WORKSHEET**

8. Did the applicant propose projects that are allowable based on the priorities of the program?

- 0 = The proposed projects are not allowable based on the priorities of the program
- 1 = The proposed projects are partially allowable and the unallowability will compromise the successful implementation of the project.
- 2 = The proposed projects are partially allowable but could be resolved with a minor modification to the proposed project
- 3 = The proposed projects are all allowable based on the priorities of the program.

Score

9. Did the applicant propose projects that are feasible based on the priorities of the program?

- 0 = The proposed projects are not feasible based on the priorities of the program
- 1 = The proposed projects could be feasible but require significant changes.
- 2 = The proposed projects could be feasible but require minor changes.
- 3 = The proposed projects are feasible based on the priorities of the program.

Score

V. Milestones (Total of 4 possible points)

10. How well did the applicant describe the milestones and the associated key activities that lead to the milestone event over the FY 2017 NSGP period of performance?

- 0 = The applicant did not provide a description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance
- 1 = The applicant provided a poor description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance
- 2 = The applicant provided a partial description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance
- 3 = The applicant provided an adequate description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance
- 4 = The applicant provided a thorough description of milestones and associated activities that lead to the milestone event over the FY 2017 NSGP period of performance

Score

**FISCAL YEAR (FY) 2017 NONPROFIT SECURITY GRANT PROGRAM (NSGP)
INVESTMENT JUSTIFICATION SCORING WORKSHEET**

VI. Project Management (Total of 3 possible points)

11. How well did the applicant justify the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment?

- 0 = The applicant **did not** justify the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 1 = The applicant **partially** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 2 = The applicant **adequately** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 3 = The applicant **thoroughly** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment

Score

VII. Impact (Total of 5 possible points)

12. How well did the applicant describe the outcomes/outputs that would indicate that the investment was successful?

- 0 = The applicant did not discuss what outcomes/outputs indicate that the investment was successful
- 1 = The applicant poorly discussed what outcomes/outputs indicate that the investment was successful
- 2 = The applicant partially discussed what outcomes/outputs indicate that the investment was successful
- 3 = The applicant adequately discussed what outcomes/outputs indicate that the investment was successful
- 4 = The applicant thoroughly what outcomes/outputs indicate that the investment was successful

Score

13. Did the applicant describe how the investment supports building or sustaining the identified Goal Core Capabilities?

- 0 = The applicant did not provide a description of how the investment supports building or sustaining the identified Goal Core Capabilities
- 1 = The applicant provide a description of how the investment supports building or sustaining the identified Goal Core Capabilities

Score

Total Score

Total Investment Justification Score:

Based on a possible score of **40**, this Investment Justification scored a:

GRANT AGREEMENT PROVISIONS AND SPECIAL CONDITIONS

If awarded a grant, each agency must adhere to the certifications and assurances identified in the subgrant agreement. Below are sample conditions that must be followed in order to be in compliance of the grant. These conditions are subject to change in the actual agreement and are provided here to advise an applicant of parameters that may be required upon acceptance of the Homeland Security grant award.

ATTACHMENT C: STANDARD STATE PROVISIONS FOR CONTRACTS AND GRANTS

REVISED DECEMBER 15, 2017

1. Definitions: For purposes of this Attachment, "Party" shall mean the Contractor, Grantee or Subrecipient, with whom the State of Vermont is executing this Agreement and consistent with the form of the Agreement. "Agreement" shall mean the specific contract or grant to which this form is attached.

2. Entire Agreement: This Agreement, whether in the form of a contract, State-funded grant, or Federally-funded grant, represents the entire agreement between the parties on the subject matter. All prior agreements, representations, statements, negotiations, and understandings shall have no effect.

3. Governing Law, Jurisdiction and Venue; No Waiver of Jury Trial: This Agreement will be governed by the laws of the State of Vermont. Any action or proceeding brought by either the State or the Party in connection with this Agreement shall be brought and enforced in the Superior Court of the State of Vermont, Civil Division, Washington Unit. The Party irrevocably submits to the jurisdiction of this court for any action or proceeding regarding this Agreement. The Party agrees that it must first exhaust any applicable administrative

remedies with respect to any cause of action that it may have against the State with regard to its performance under this Agreement. Party agrees that the State shall not be required to submit to binding arbitration or waive its right to a jury trial.

4. Sovereign Immunity: The State reserves all immunities, defenses, rights or actions arising out of the State's sovereign status or under the Eleventh Amendment to the United States Constitution. No waiver of the State's immunities, defenses, rights or actions shall be implied or otherwise deemed to exist by reason of the State's entry into this Agreement.

5. No Employee Benefits For Party: The Party understands that the State will not provide any individual retirement benefits, group life insurance, group health and dental insurance, vacation or sick leave, workers compensation or other benefits or services available to State employees, nor will the State withhold any state or Federal taxes except as required under applicable tax laws, which shall be determined in advance of execution of the Agreement. The Party understands that all tax returns required by the Internal Revenue Code and the State of Vermont,

including but not limited to income, withholding, sales and use, and rooms and meals, must be filed by the Party, and information as to Agreement income will be provided by the State of Vermont to the Internal Revenue Service and the Vermont Department of Taxes.

6. Independence: The Party will act in an independent capacity and not as officers or employees of the State.

7. Defense and Indemnity: The Party shall defend the State and its officers and employees against all third party claims or suits arising in whole or in part from any act or omission of the Party or of any agent of the Party in connection with the performance of this Agreement. The State shall notify the Party in the event of any such claim or suit, and the Party shall immediately retain counsel and otherwise provide a complete defense against the entire claim or suit. The State retains the right to participate at its own expense in the defense of any claim. The State shall have the right to approve all proposed settlements of such claims or suits.

After a final judgment or settlement, the Party may request recoupment of specific defense costs and may file suit in Washington Superior Court

requesting recoupment. The Party shall be entitled to recoup costs only upon a showing that such costs were entirely unrelated to the defense of any claim arising from an act or omission of the Party in connection with the performance of this Agreement. The Party shall indemnify the State and its officers and employees if the State, its officers or employees become legally obligated to pay any damages or losses arising from any act or omission of the Party or an agent of the Party in connection with the performance of this Agreement. Notwithstanding any contrary language anywhere, in no event shall the terms of this Agreement or any document furnished by the Party in connection with its performance under this Agreement obligate the State to (1) defend or indemnify the Party or any third party, or (2) otherwise be liable for the expenses or reimbursement, including attorneys' fees, collection costs or other costs of the Party or any third party.

8. Insurance: Before commencing work on this Agreement the Party must provide certificates of insurance to show that the following minimum coverages are in effect. It is the responsibility of the Party to maintain current certificates of insurance on file with the State through the term of this Agreement. No warranty is made that the coverages and limits listed herein are adequate to cover and protect the interests of the Party for the Party's operations. These are solely minimums that have been

established to protect the interests of the State.

Workers Compensation: With respect to all operations performed, the Party shall carry workers' compensation insurance in accordance with the laws of the State of Vermont. Vermont will accept an out-of-state employer's workers' compensation coverage while operating in Vermont provided that the insurance carrier is licensed to write insurance in Vermont and an amendatory endorsement is added to the policy adding Vermont for coverage purposes. Otherwise, the party shall secure a Vermont workers' compensation policy, if necessary to comply with Vermont law.

General Liability and Property Damage: With respect to all operations performed under this Agreement, the Party shall carry general liability insurance having all major divisions of coverage including, but not limited to:

- Premises - Operations
- Products and Completed Operations
- Personal Injury Liability
- Contractual Liability
- The policy shall be on an occurrence form and limits shall not be less than:
 - \$1,000,000 Each Occurrence
 - \$2,000,000 General Aggregate
 - 1,000,000 Products/Completed Operations Aggregate
 - \$1,000,000 Personal & Advertising Injury

Automotive Liability: The Party shall carry automotive liability insurance covering all motor

vehicles, including hired and non-owned coverage, used in connection with the Agreement. Limits of coverage shall not be less than \$500,000 combined single limit. If performance of this Agreement involves construction, or the transport of persons or hazardous materials, limits of coverage shall not be less than \$1,000,000 combined single limit.

Additional Insured. The General Liability and Property Damage coverages required for performance of this Agreement shall include the State of Vermont and its agencies, departments, officers and employees as Additional Insureds. If performance of this Agreement involves construction, or the transport of persons or hazardous materials, then the required Automotive Liability coverage shall include the State of Vermont and its agencies, departments, officers and employees as Additional Insureds. Coverage shall be primary and non-contributory with any other insurance and self-insurance.

Notice of Cancellation or Change. There shall be no cancellation, change, potential exhaustion of aggregate limits or non-renewal of insurance coverage(s) without thirty (30) days written prior written notice to the State.

9. Reliance by the State on Representations: All payments by the State under this Agreement will be made in reliance upon the accuracy of all representations made by the Party in accordance with this Agreement, including but not limited to bills, invoices,

progress reports and other proofs of work.

10. False Claims Act: The Party acknowledges that it is subject to the Vermont False Claims Act as set forth in 32 V.S.A. § 630 *et seq.* If the Party violates the Vermont False Claims Act it shall be liable to the State for civil penalties, treble damages and the costs of the investigation and prosecution of such violation, including attorney's fees, except as the same may be reduced by a court of competent jurisdiction. The Party's liability to the State under the False Claims Act shall not be limited notwithstanding any agreement of the State to otherwise limit Party's liability.

11. Whistleblower Protections: The Party shall not discriminate or retaliate against one of its employees or agents for disclosing information concerning a violation of law, fraud, waste, abuse of authority or acts threatening health or safety, including but not limited to allegations concerning the False Claims Act. Further, the Party shall not require such employees or agents to forego monetary awards as a result of such disclosures, nor should they be required to report misconduct to the Party or its agents prior to reporting to any governmental entity and/or the public.

12. Location of State Data: No State data received, obtained, or generated by the Party in connection with performance under this Agreement shall be processed, transmitted, stored, or transferred by any means outside the continental United

States, except with the express written permission of the State.

13. Records Available for Audit: The Party shall maintain all records pertaining to performance under this agreement. "Records" means any written or recorded information, regardless of physical form or characteristics, which is produced or acquired by the Party in the performance of this agreement. Records produced or acquired in a machine readable electronic format shall be maintained in that format. The records described shall be made available at reasonable times during the period of the Agreement and for three years thereafter or for any period required by law for inspection by any authorized representatives of the State or Federal Government. If any litigation, claim, or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

14. Fair Employment Practices and Americans with Disabilities Act: Party agrees to comply with the requirement of 21 V.S.A. Chapter 5, Subchapter 6, relating to fair employment practices, to the full extent applicable. Party shall also ensure, to the full extent required by the Americans with Disabilities Act of 1990, as amended, that qualified individuals with disabilities receive equitable access to the services, programs, and

activities provided by the Party under this Agreement.

15. Set Off: The State may set off any sums which the Party owes the State against any sums due the Party under this Agreement; provided, however, that any set off of amounts due the State of Vermont as taxes shall be in accordance with the procedures more specifically provided hereinafter.

16. Taxes Due to the State:

- A) Party understands and acknowledges responsibility, if applicable, for compliance with State tax laws, including income tax withholding for employees performing services within the State, payment of use tax on property used within the State, corporate and/or personal income tax on income earned within the State.
- B) Party certifies under the pains and penalties of perjury that, as of the date this Agreement is signed, the Party is in good standing with respect to, or in full compliance with, a plan to pay any and all taxes due the State of Vermont.
- C) Party understands that final payment under this Agreement may be withheld if the Commissioner of Taxes determines that the Party is not in good standing with respect to or in full compliance with a plan to pay any and all taxes due to the State of Vermont.
- D) Party also understands the State may set off taxes (and related penalties, interest and fees) due to the State of

Vermont, but only if the Party has failed to make an appeal within the time allowed by law, or an appeal has been taken and finally determined and the Party has no further legal recourse to contest the amounts due.

17. Taxation of Purchases: All State purchases must be invoiced tax free. An exemption certificate will be furnished upon request with respect to otherwise taxable items.

18. Child Support: (Only applicable if the Party is a natural person, not a corporation or partnership.) Party states that, as of the date this Agreement is signed, he/she:

- A) is not under any obligation to pay child support; or
- B) is under such an obligation and is in good standing with respect to that obligation; or
- C) has agreed to a payment plan with the Vermont Office of Child Support Services and is in full compliance with that plan.

Party makes this statement with regard to support owed to any and all children residing in Vermont. In addition, if the Party is a resident of Vermont, Party makes this statement with regard to support owed to any and all children residing in any other state or territory of the United States.

19. Sub-Agreements: Party shall not assign, subcontract or subgrant the performance of this Agreement or any portion thereof to any other Party without the prior written approval of the State. Party shall be responsible and liable to the

State for all acts or omissions of subcontractors and any other person performing work under this Agreement pursuant to an agreement with Party or any subcontractor.

In the case this Agreement is a contract with a total cost in excess of \$250,000, the Party shall provide to the State a list of all proposed subcontractors and subcontractors' subcontractors, together with the identity of those subcontractors' workers compensation insurance providers, and additional required or requested information, as applicable, in accordance with Section 32 of The Vermont Recovery and Reinvestment Act of 2009 (Act No. 54).

Party shall include the following provisions of this Attachment C in all subcontracts for work performed solely for the State of Vermont and subcontracts for work performed in the State of Vermont: Section 10 ("False Claims Act"); Section 11 ("Whistleblower Protections"); Section 12 ("Location of State Data"); Section 14 ("Fair Employment Practices and Americans with Disabilities Act"); Section 16 ("Taxes Due the State"); Section 18 ("Child Support"); Section 20 ("No Gifts or Gratuities"); Section 22 ("Certification Regarding Debarment"); Section 30 ("State Facilities"); and Section 32.A ("Certification Regarding Use of State Funds").

20. No Gifts or Gratuities: Party shall not give title or possession of anything of substantial value (including property, currency, travel and/or education programs) to any

officer or employee of the State during the term of this Agreement.

21. Copies: Party shall use reasonable best efforts to ensure that all written reports prepared under this Agreement are printed using both sides of the paper.

22. Certification Regarding Debarment: Party certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, neither Party nor Party's principals (officers, directors, owners, or partners) are presently debarred, suspended, proposed for debarment, declared ineligible or excluded from participation in Federal programs, or programs supported in whole or in part by Federal funds.

Party further certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, Party is not presently debarred, suspended, nor named on the State's debarment list at: <http://bgs.vermont.gov/purchasing/debarment>

23. Conflict of Interest: Party shall fully disclose, in writing, any conflicts of interest or potential conflicts of interest.

24. Confidentiality: Party acknowledges and agrees that this Agreement and any and all information obtained by the State from the Party in connection with this Agreement are subject to the State of Vermont Access to Public Records Act, 1 V.S.A. § 315 et seq.

25. Force Majeure: Neither the State nor the Party shall be liable to the other for any failure or delay of performance of any

obligations under this Agreement to the extent such failure or delay shall have been wholly or principally caused by acts or events beyond its reasonable control rendering performance illegal or impossible (excluding strikes or lock-outs) ("Force Majeure"). Where Force Majeure is asserted, the nonperforming party must prove that it made all reasonable efforts to remove, eliminate or minimize such cause of delay or damages, diligently pursued performance of its obligations under this Agreement, substantially fulfilled all non-excused obligations, and timely notified the other party of the likelihood or actual occurrence of an event described in this paragraph.

26. Marketing: Party shall not refer to the State in any publicity materials, information pamphlets, press releases, research reports, advertising, sales promotions, trade shows, or marketing materials or similar communications to third parties except with the prior written consent of the State.

27. Termination:

A. Non-Appropriation: If this Agreement extends into more than one fiscal year of the State (July 1 to June 30), and if appropriations are insufficient to support this Agreement, the State may cancel at the end of the fiscal year, or otherwise upon the expiration of existing appropriation authority. In the case that this Agreement is a Grant that is funded in whole or in part by Federal funds, and

in the event Federal funds become unavailable or reduced, the State may suspend or cancel this Grant immediately, and the State shall have no obligation to pay Subrecipient from State revenues.

B. Termination for Cause: Either party may terminate this Agreement if a party materially breaches its obligations under this Agreement, and such breach is not cured within thirty (30) days after delivery of the non-breaching party's notice or such longer time as the non-breaching party may specify in the notice.

C. Termination Assistance: Upon nearing the end of the final term or termination of this Agreement, without respect to cause, the Party shall take all reasonable and prudent measures to facilitate any transition required by the State. All State property, tangible and intangible, shall be returned to the State upon demand at no additional cost to the State in a format acceptable to the State.

28. Continuity of Performance: In the event of a dispute between the Party and the State, each party will continue to perform its obligations under this Agreement during the resolution of the dispute until this Agreement is terminated in accordance with its terms.

29. No Implied Waiver of Remedies: Either party's delay or failure to exercise any right,

power or remedy under this Agreement shall not impair any such right, power or remedy, or be construed as a waiver of any such right, power or remedy. All waivers must be in writing.

30. State Facilities: If the State makes space available to the Party in any State facility during the term of this Agreement for purposes of the Party's performance under this Agreement, the Party shall only use the space in accordance with all policies and procedures governing access to and use of State facilities which shall be made available upon request. State facilities will be made available to Party on an "AS IS, WHERE IS" basis, with no warranties whatsoever.

31. Requirements Pertaining Only to Federal Grants and Subrecipient Agreements: If this Agreement is a grant that is funded in whole or in part by Federal funds:

A. Requirement to Have a Single Audit: The Subrecipient will complete the Subrecipient Annual Report annually within 45 days after its fiscal year end, informing the State of Vermont whether or not a Single Audit is required for the prior fiscal year. If a Single Audit is required, the Subrecipient will submit a copy of the audit report to the granting Party within 9 months. If a single audit is not required, only the Subrecipient Annual Report is required.

For fiscal years ending before December 25, 2015, a Single Audit is required if the

subrecipient expends \$500,000 or more in Federal assistance during its fiscal year and must be conducted in accordance with OMB Circular A-133. For fiscal years ending on or after December 25, 2015, a Single Audit is required if the subrecipient expends \$750,000 or more in Federal assistance during its fiscal year and must be conducted in accordance with 2 CFR Chapter I, Chapter II, Part 200, Subpart F. The Subrecipient Annual Report is required to be submitted within 45 days, whether or not a Single Audit is required.

B. Internal Controls: In accordance with 2 CFR Part II, §200.303, the Party must establish and maintain effective internal control over the Federal award to provide reasonable assurance that the Party is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the award. These internal controls should be in

compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

C. Mandatory Disclosures: In accordance with 2 CFR Part II, §200.113, Party must disclose, in a timely manner, in writing to the State, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures may result in the imposition of sanctions which may include disallowance of costs incurred, withholding of payments, termination of the Agreement, suspension/debarment, etc.

32. Requirements Pertaining Only to State-Funded Grants:

A. Certification Regarding Use of State Funds: If Party is an employer and

this Agreement is a State-funded grant in excess of \$1,001, Party certifies that none of these State funds will be used to interfere with or restrain the exercise of Party’s employee’s rights with respect to unionization.

B. Good Standing Certification (Act 154 of 2016): If this Agreement is a State-funded grant, Party hereby represents: (i) that it has signed and provided to the State the form prescribed by the Secretary of Administration for purposes of certifying that it is in good standing (as provided in Section 13(a)(2) of Act 154) with the Agency of Natural Resources and the Agency of Agriculture, Food and Markets, or otherwise explaining the circumstances surrounding the inability to so certify, and (ii) that it will comply with the requirements stated therein.

(End of Standard Provisions)

OTHER GRANT AGREEMENT PROVISIONS

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; DRUG-FREE WORKPLACE REQUIREMENTS; FOLLOWING SUBRECIPIENT PROCEDURES; PROCUREMENT; DISCLOSURE OF INFORMATION AND CONFLICT OF INTEREST;

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this agreement provides for compliance with certification requirements under 10 CFR Part 601 "New Restrictions on Lobbying," and 10 CFR Part 1036 "Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Public Safety determines to award the covered transaction, grant, or other agreement.

1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for

influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, Agreements, and contracts under grants, loans, and cooperative agreements) and that all Subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was

made or entered into.

Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

3. Applicable CFR's and Federal Executive Orders 12549 and 12689 prohibit non-federal entities from contracting with or making sub-awards under covered transactions to parties that are suspended or debarred or whose principals are suspended or debarred. Covered transactions include procurement contracts for goods or services equal to or in excess of \$25,000 and non-procurement transactions such as grants or cooperative agreements. By signing this Agreement, the Subgrantee agrees it will verify the status of potential vendors prior to any federal funds being obligated to prevent any debarred or suspended agencies or vendors from receiving federal funds. The Subrecipient can confirm the status of potential vendors by conducting a search on the System for Award Management (SAM) website (<https://www.sam.gov/port al/public/SAM/>). At this time, DPS does not require Subrecipients to submit proof of verification with any reimbursement request; however, the Subrecipient must maintain this information, in the form of a screen print, with other grant documentation. This documentation shall be available for review per Attachment C.

3. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

The Subrecipient will or will continue to provide a drug-free workplace by: ¹

1. Maintaining a Zero Tolerance Drug Policy;
2. Posting in conspicuous places, available to employees and applicants for employment, a statement notifying employees that the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance or marijuana is prohibited in the Subrecipient's workplace and specifying the actions that will be taken against employees for violations of such prohibition;
3. Stating in all solicitations or advertisements for employees or subcontractors placed by or on behalf of the Subrecipient that the Subrecipient maintains a drug-free workplace;
4. Establishing an ongoing drug-free awareness program to inform employees about:

¹ 2 CFR § 182

(a) The dangers of drug abuse in the workplace;
(b) The Subrecipient's policy of maintaining a drug-free workplace;
(c) Any available drug counseling, rehabilitation, and employee assistance programs; and
(d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
(e) Including the provisions of the foregoing clauses in all third party contracts, subcontracts, and purchase orders that exceed ten thousand dollars (\$10,000.00), so that the provisions will be binding upon each subcontractor or vendor.

4. PROCUREMENT:

The Subrecipient agrees to abide by their respective procurement rules, policies, and/or procedures as outlined in 2 CFR §§ 200.317 to 200.326.

1. Subrecipient must comply with proper competitive bidding procedures as required by the applicable federal and state rules.

2. The subrecipient entity must maintain written standards of conduct covering conflict of interest and governing the actions of its employees and engaged in selection, award, and administration of contracts.²

3. The subrecipient must take all necessary

affirmative steps to assure that minority business, women's business enterprises, and labor surplus area firms be used when possible. Please see 2 CFR § 200.321 for the affirmative steps that must be taken.

5. FOLLOWING SUBRECIPIENT PROCEDURES:

The undersigned certifies that the Subrecipient organization has in place standard policies and procedures that govern the Subrecipient's payroll, purchasing, contracting and inventory control in accordance with 2 CFR 225, Appendix A, Section C 1.e or 2 CFR 200.302.

The undersigned further certifies that the Subrecipient organization will use those policies and procedures for any approved expenditure under this Agreement and for any equipment purchased with Agreement funds. The undersigned also agrees to make the policies and procedures available for examination by any authorized representatives of the State or Federal Government. This does not relieve the Subrecipient from requirements of federal financial management, requirements in:

(a) 2 CFR 200 § 302 Financial Management

6. DISCLOSURE OF INFORMATION:

Any confidential or personally identifiable information (PII) acquired by subrecipient during the course of the subgrant shall not be disclosed by subrecipient to any person, firm, corporation, association, or other entity for any reason or purpose whatsoever without the prior written consent of the Department of Public Safety either during the term of the Agreement or in the event of termination of the Agreement for any reason whatsoever. Subrecipient agrees to abide by applicable federal regulations regarding confidential information and research standards, as appropriate, for federally supported projects.

7. CONFLICT OF INTEREST

Subgrantee/Contractor covenants that, to the best of its knowledge, no person under its employ, including subcontractors, who presently exercises any functions or responsibilities in connection with Board, Department, or projects or programs funded by Board or Department, has any personal financial interest, direct or indirect, in this Subgrant Agreement /Contract.

1. Subgrantee/Contractor further covenants that in the performance of

² 2 CFR § 200.318 (c)(1)

Subgrant
Agreement/Contract, no
person having such
conflicting interest shall

knowingly be employed by
Subgrantee/Contractor.
2. Any such interest, on the
part of Subgrantee

/Contractor or its
employees, when known,
must be disclosed in
writing to Department.

ATTACHMENT E

FUNDING SOURCE SPECIAL CONDITIONS

This Agreement is subject to the requirements of all federal laws, policies and bulletins. Most notably:

NIMS Compliant:

All organizations/ agencies applying for Homeland Security funds and/ or Nonprofit Security funds must comply with National Incident Management System (NIMS) activities set forth in Vermont's NIMS Implementation Plan. The Vermont NIMS Implementation Plan can be found here:

<http://vem.vermont.gov/programs/nims>.

Interoperability Communications:

As part of this agreement, the Subrecipient agrees that the U-Call/V-Call and U-Tac/V-Tac frequencies will be programmed into all applicable interoperable communications equipment. All channels other than U-CALL 40 are used in simplex mode.

V-CALL10	(Formerly VCALL)	Command	155.7525
V-TAC11	(Formerly V-TAC 1)	Dispatch/Lifeline	151.1375
V-TAC12	(Formerly V-TAC 2)	Tactical/Fire Ground	154.4525
V-TAC13	(Formerly V-TAC 3)	Tactical/Search & Rescue	158.7375
V-TAC14	(Formerly V-TAC 4)	Tactical/Air or Ground EMS Operations	159.4725
U-CALL40	(Formerly U-CALL)	Dispatch/Lifeline	453.2125
U-TAC41	(Formerly U-TAC 1)	Command	453.4625
U-TAC42	(Formerly U-TAC 2)	Tactical	453.7125
U-TAC43	(Formerly U-TAC 3)	Tactical	453.8625

Regional Coordination:

A high priority is placed on ensuring that all awards reflect regional coordination and regional integration.

Permits:

All local, state and federal permits are the responsibility of the Subrecipient.

Prior Approval/Review of Releases:

Any notices, information pamphlets, press releases, research reports, or similar other publications prepared and released in written or oral form by the Subrecipient under this Grant Agreement shall be approved/reviewed by the State prior to release.

Data Collection:

The Subrecipient agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.

Article I - Summary Description of Award

The purpose of the FY 2018 HSGP is to support state and local efforts to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States. The HSGP provides funding to implement investments that build, sustain, and

deliver the 32 core capabilities essential to achieving the National Preparedness Goal of a secure and resilient Nation. Among the five basic homeland security missions noted in the DHS Quadrennial Homeland Security Review, HSGP supports the goal to Strengthen National Preparedness and Resilience. The building, sustainment, and delivery of these core capabilities are not exclusive to any single level of government, organization, or community, but rather, require the combined effort of the whole community. This HSGP award consists of State Homeland Security Program (SHSP) funding in the amount of \$3,752,000, and Operation Stonegarden (OPSG) funding in the amount of \$334,899. The following shall receive Operation Stonegarden subawards for the following amounts: State of Vermont, \$334,899. These grant programs fund a range of activities, including planning, organization, equipment purchase, training, exercises, and management and administration across all core capabilities and mission areas.

Article II - Buy American and Hire American

All recipients are required to comply with any applicable provisions of the Buy American Act (41 U.S.C. Sections 8301 through 8305), and any other applicable statutes, regulations, or rules that require, or provide a preference for, the purchase or acquisition of goods, products, or materials produced in the United States.

Article III - Disposition of Equipment Acquired Under the Federal Award

When original or replacement equipment acquired under this award by the recipient or its sub-recipients is no longer needed for the original project or program or for other activities currently or previously supported by DHS/FEMA, you must request instructions from DHS/FEMA to make proper disposition of the equipment pursuant to 2 C.F.R. Section 200.313.

Article IV - Prior Approval for Modification of Approved Budget

Before making any change to the DHS/FEMA approved budget for this award, you must request prior written approval from DHS/FEMA where required by 2 C.F.R. Section 200.308. For awards with an approved budget greater than \$150,000, you may not transfer funds among direct cost categories, programs, functions, or activities without prior written approval from DHS/FEMA where the cumulative amount of such transfers exceeds or is expected to exceed ten percent (10%) of the total budget DHS/FEMA last approved. You must report any deviations from your DHS/FEMA approved budget in the first Federal Financial Report (SF-425) you submit following any budget deviation, regardless of whether the budget deviation requires prior written approval.

Article V - Acceptance of Post Award Changes

In the event FEMA determines that changes are necessary to the award document after an award has been made, including changes to period of performance or terms and conditions, recipients will be notified of the changes in writing. Once notification has been made, any subsequent request for funds will indicate recipient acceptance of the changes to the award. Please call the FEMA/GMD Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov if you have any questions.

Article VI - Procurement of Recovered Materials

All recipients must comply with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 C.F.R. Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition.

Article VII - Whistleblower Protection Act

All recipients must comply with the statutory requirements for whistleblower protections (if applicable) at 10 U.S.C. Section 2409, U.S.C. Section 4712, 10 U.S.C. Section 2324, 41 U.S.C. Sections 4304 and 4310.

Article VIII - Use of DHS Seal, Logo and Flags

All recipients must obtain permission from their DHS FAO, prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

Article IX - USA Patriot Act of 2001

All recipients must comply with requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. sections 175-175c.

Article X - Universal Identifier and System of Award Management (SAM)

All recipients are required to comply with the requirements set forth in the government-wide financial assistance award term regarding the System for Award Management and Universal Identifier Requirements located at 2 C.F.R. Part 25, Appendix A, the full text of which is incorporated here by reference in the terms and conditions.

Article XI - Reporting of Matters Related to Recipient Integrity and Performance

If the total value of the recipient's currently active grants, cooperative agreements, and procurement contracts from all federal assistance offices exceeds \$10,000,000 for any period of time during the period of performance of this federal financial assistance award, you must comply with the requirements set forth in the government-wide Award Term and Condition for Recipient Integrity and Performance Matters located at 2 C.F.R. Part 200, Appendix XII, the full text of which is incorporated here by reference in the award terms and conditions.

Article XII - Rehabilitation Act of 1973

All recipients must comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. section 794, as amended, which provides that no otherwise qualified handicapped individuals in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

Article XIII - Trafficking Victims Protection Act of 2000

All recipients must comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act of 2000, (TVPA) as amended by 22 U.S.C. section 7104. The award term is located at 2 C.F.R. section 175.15, the full text of which is incorporated here by reference in the award terms and conditions.

Article XIV - Terrorist Financing

All recipients must comply with E.O. 13224 and U.S. law that prohibit transactions with, and the provisions of resources and support to, individuals and organizations associated with terrorism. Recipients are legally responsible to ensure compliance with the Order and laws.

Article XV - SAFECOM

All recipients receiving federal financial assistance awards made under programs that provide emergency communication equipment and its related activities must comply with the SAFECOM Guidance for Emergency Communication Grants, including provisions on technical standards that ensure and enhance interoperable communications.

Article XVI - Reporting Subawards and Executive Compensation

All recipients are required to comply with the requirements set forth in the government-wide Award Term on Reporting Subawards and Executive Compensation located at 2 C.F.R. Part 170, Appendix A, the full text of which is incorporated here by reference in the award terms and conditions.

Article XVII - Debarment and Suspension

All recipients are subject to the non-procurement debarment and suspension regulations implementing Executive Orders (E.O.) 12549 and 12689, and 2 C.F.R. Part 180. These regulations restrict federal financial assistance awards, subawards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities.

Article XVIII - Copyright

All recipients must affix the applicable copyright notices of 17 U.S.C. sections 401 or 402 and an acknowledgement of U.S. Government sponsorship (including the award number) to any work first produced under federal financial assistance awards.

Article XIX - Civil Rights Act of 1964 - Title VI

All recipients must comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C. section 2000d et seq.), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. DHS implementing regulations for the Act are found at 6 C.F.R. Part 21 and 44 C.F.R. Part 7.

Article XX - Best Practices for Collection and Use of Personally Identifiable Information (PII)

DHS defines personally identifiable information (PII) as any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual. All recipients who collect PII are required to have a publically-available privacy policy that describes standards on the usage and maintenance of PII they collect. Recipients may also find the DHS Privacy Impact Assessments: Privacy Guidance and Privacy template as useful resources respectively.

Article XXI - Americans with Disabilities Act of 1990

All recipients must comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities. (42 U.S.C. sections 12101-12213).

Article XXII - Age Discrimination Act of 1975

All recipients must comply with the requirements of the Age Discrimination Act of 1975 (Title 42 U.S. Code, section 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving federal financial assistance.

Article XXIII - Activities Conducted Abroad

All recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

Article XXIV - Acknowledgment of Federal Funding from DHS

All recipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with federal funds.

Article XXV - DHS Specific Acknowledgements and Assurances

All recipients, subrecipients, successors, transferees, and assignees must acknowledge and agree to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance reviews or compliance investigations conducted by DHS.
2. Recipients must give DHS access to, and the right to examine and copy, records, accounts, and other documents and sources of information related to the federal financial assistance award and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.
3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. If, during the past three years, recipients have been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency (LEP)), sex, age, disability, religion, or familial status, recipients must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS FAO and the DHS Office of Civil Rights and Civil Liberties (CRCL) by e-mail at crcl@hq.dhs.gov or by mail at U.S. Department of Homeland Security Office for Civil Rights and Civil Liberties Building 410, Mail Stop #0190 Washington, D.C. 20528.
6. In the event courts or administrative agencies make a finding of discrimination on grounds of race, color, national origin (including LEP), sex, age, disability, religion, or familial status against the recipient, or recipients settle a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS FAO and the CRCL office by e-mail or mail at the addresses listed above.

The United States has the right to seek judicial enforcement of these obligations.

Article XXVI - Assurances, Administrative Requirements, Cost Principles, and Audit Requirements

DHS financial assistance recipients must complete either the OMB Standard Form 424B Assurances - Non-Construction Programs, or OMB Standard Form 424D Assurances - Construction Programs as applicable. Certain assurances in these documents may not be applicable to your program, and the DHS financial assistance office may require applicants to certify additional assurances. Applicants are required to fill out the assurances applicable to their program as instructed by the awarding agency. Please contact the financial assistance office if you have any questions.

DHS financial assistance recipients are required to follow the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located at 2 C.F.R. Part 200, and adopted by DHS at 2 C.F.R. Part 3002.

Article XXVII - Patents and Intellectual Property Rights

Unless otherwise provided by law, recipients are subject to the Bayh-Dole Act, Pub. L. No. 96-517, as amended, and codified in 35 U.S.C. section 200 et seq. All recipients are subject to the specific requirements governing the development, reporting, and disposition of rights to inventions and patents resulting from financial assistance awards located at 37 C.F.R. Part 401 and the standard patent rights clause located at 37 C.F.R. section 401.14.

Article XXVIII - Notice of Funding Opportunity Requirements

All of the instructions, guidance, limitations, and other conditions set forth in the Notice of Funding Opportunity (NOFO) for this program are incorporated here by reference in the award terms and conditions. All recipients must comply with any such requirements set forth in the program NOFO.

Article XXIX - Non-supplanting Requirement

All recipients receiving federal financial assistance awards made under programs that prohibit supplanting by law must ensure that federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-federal sources.

Article XXX - Nondiscrimination in Matters Pertaining to Faith-Based Organizations

It is DHS policy to ensure the equal treatment of faith-based organizations in social service programs administered or supported by DHS or its component agencies, enabling those organizations to participate in providing important social services to beneficiaries. All recipients must comply with the equal treatment policies and requirements contained in 6 C.F.R.

Part 19 and other applicable statutes, regulations, and guidance governing the participations of faith-based organizations in individual DHS programs.

Article XXXI - National Environmental Policy Act

All recipients must comply with the requirements of the National Environmental Policy Act (NEPA) and the Council on Environmental Quality (CEQ) Regulations for Implementing the Procedural Provisions of NEPA, which requires recipients to use all practicable means within their authority, and consistent with other essential considerations of national policy, to create and maintain conditions under which people and nature can exist in productive harmony and fulfill the social, economic, and other needs of present and future generations of Americans.

Article XXXII - Lobbying Prohibitions

All recipients must comply with 31 U.S.C. section 1352, which provides that none of the funds provided under an federal financial assistance award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any federal action concerning the award or renewal.

Article XXXIII - Limited English Proficiency (Civil Rights Act of 1964, Title VI)

All recipients must comply with the Title VI of the Civil Rights Act of 1964 (Title VI) prohibition against discrimination on the basis of national origin, which requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services. For additional assistance and information regarding language access obligations, please refer to the DHS Recipient Guidance <https://www.dhs.gov/guidance-published-help-department-supported-organizations-provide-meaningful-access-people-limited> and additional resources on <http://www.lep.gov>.

Article XXXIV - Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. section 2225a, all recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with federal funds complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, as amended, 15 U.S.C. section 2225.

Article XXXV - Fly America Act of 1974

All recipients must comply with Preference for U.S. Flag Air Carriers (air carriers holding certificates under 49 U.S.C. section 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. section 40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981 amendment to Comptroller General Decision B-138942.

Article XXXVI - Federal Leadership on Reducing Text Messaging while Driving

All recipients are encouraged to adopt and enforce policies that ban text messaging while driving as described in E.O. 13513, including conducting initiatives described in Section 3(a) of the Order when on official government business or when performing any work for or on behalf of the federal government.

Article XXXVII - Federal Debt Status

All recipients are required to be non-delinquent in their repayment of any federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit overpayments. (See OMB Circular A-129.)

Article XXXVIII - False Claims Act and Program Fraud Civil Remedies

All recipients must comply with the requirements of 31 U.S.C. section 3729 - 3733 which prohibits the submission of false or fraudulent claims for payment to the federal government. (See 31 U.S.C. section 3801-3812 which details the administrative remedies for false claims and statements made.)

Article XXXIX - Energy Policy and Conservation Act

All recipients must comply with the requirements of 42 U.S.C. section 6201 which contain policies relating to energy efficiency that are defined in the state energy conservation plan issued in compliance with this Act.

Article XL - Education Amendments of 1972 (Equal Opportunity in Education Act) - Title IX

All recipients must comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. section 1681 et seq.), which provide that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving federal financial assistance. DHS implementing regulations are codified at 6 C.F.R. Part 17 and 44 C.F.R. Part 19

Article XLI - Duplication of Benefits

Any cost allocable to a particular federal financial assistance award provided for in 2 C.F.R. Part 200, Subpart E may not be charged to other federal financial assistance awards to overcome fund deficiencies, to avoid restrictions imposed by federal statutes, regulations, or federal financial assistance award terms and conditions, or for other reasons. However, these prohibitions would not preclude recipients from shifting costs that are allowable under two or more awards in accordance with existing federal statutes, regulations, or the federal financial assistance award terms and conditions.

Article XLII - Drug-Free Workplace Regulations

All recipients must comply with the Drug-Free Workplace Act of 1988 (41 U.S.C. section 8101 et seq.), which requires all organizations receiving grants from any federal agency agree to maintain a drug-free workplace. You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of 2 CFR part 3001, which adopts the Government-wide implementation (2 CFR part 182) of sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 8101-8107).

Article XLIII - Civil Rights Act of 1968

All recipients must comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. section 3601 et seq.), as implemented by the Department of Housing and Urban Development at 24 C.F.R. Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units-i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)-be designed and constructed with certain accessible features. (See 24 C.F.R. section 100.201.)

Article XLIV - Operation Stonegarden Program Hold

The recipient is prohibited from drawing down or reimbursing sub-recipients of Operation Stonegarden (OPSG) funding provided through this award until each unique, specific or modified county level, tribal or equivalent Operations Order and/ or Fragmentary Order (Frago) has been reviewed by FEMA/GPD and Customs and Border Protection/United States Border

Final Guidance must be followed, 2 CFR 200 Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards became effective 12/26/2014 for Federal awards that are issued post 12/26/2014. This regulation supersedes requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in 2 C.F.R. Parts 220, 225, 215, and 230); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up. See final guidance and OMB Policy Statements for more information.

- 2 CFR 180 OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)
- 2 CFR 215 (formerly A-110) Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations,
- 2 CFR 220 (formerly A-21) Cost Principles for Education Institutions,
- 2 CFR 225 (formerly A-87) Cost Principles for State, Local and Indian Tribal Governments,
- 2 CFR 230 (formerly A-122) Cost Principles for Non-Profit Organizations, and
- A-133 Audits of States, Local Governments and Non-Profit Organizations.

This Agreement is also subject to the requirements of the State of Vermont grant and audit policies. The most pertinent bulletins and addendums are:

Bulletin 5, Single Audit Policy for Agreements

Bulletin 5 - Procedure #1

Bulletin 5 - Procedure #2

This agreement is subject to the requirements for the federal agency providing the funds. This agreement is subject to the following Code of Federal Regulation (CFR) and Grant Guidance:

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title44/44cfr206_main_02.tpl