



## REQUEST FOR PROPOSAL

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The California Governor's Office of Emergency Services (Cal OES), Homeland Security and Grants Processing Branch, is soliciting proposals for the following program:

### **HOMELAND SECURITY GRANT PROGRAM (HSGP) FOR CALIFORNIA STATE AGENCIES**

Release Date: February 15, 2019

This Request for Proposal (RFP) provides detailed information and forms necessary to prepare a proposal for the Cal OES grant funds.

### **PROGRAM SYNOPSIS**

#### **Program Description:**

The purpose of this *HSGP for California State Agencies* is to support state agency security enhancement projects that fall within one of the Cal OES HSGP Investment Justifications. Statewide preparedness activities must address high-priority preparedness gaps across one or more of the 32 core capabilities, in addition to requiring a direct nexus to the Prevention, Protection, Mitigation of, Response to, or Recovery from acts of terrorism.

#### **Eligibility:**

Restricted to California State Agencies as listed on [www.ca.gov](http://www.ca.gov).

#### **Grant Subaward Performance Period:**

12 Months

#### **Available Funding:**

\$2,195,896

#### **Submission Deadline:**

The proposal package must be received electronically, no later than 5:00pm Friday, April 19, 2019.



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# HOMELAND SECURITY GRANT PROGRAM FOR CALIFORNIA STATE AGENCIES

## PART I - OVERVIEW

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- A. PROGRAM OVERVIEW**
  - B. PROJECT OBJECTIVES**
  - C. AWARD & ELIGIBILITY INFORMATION**
  - D. CONTACT INFORMATION**
  - E. PROJECT ACTIVITY GUIDELINES**
  - F. SPECIAL CONSIDERATIONS**
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### A. PROGRAM OVERVIEW

Each year, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) announces a Notice of Funding Opportunity (NOFO) and Application Kit for the Homeland Security Grant Program (HSGP). The intent of the Program is to support state, local, and tribal efforts to prevent acts of 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.

HSGP provides funding to implement investments that enhance terrorism preparedness and serve to build, sustain, and deliver the 32 core capabilities (<https://www.fema.gov/core-capabilities>) across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery essential to achieving the National Preparedness Goal of a secure and resilient Nation. The building, sustainment, and delivery of these core capabilities require the combined effort of the whole community, inclusive of children, individuals with disabilities and others with access and functional needs, diverse communities, and people with limited English proficiency.

A crosswalk of the Mission Areas and Core Capabilities may be found at <https://www.fema.gov/media-library/assets/images/127427>.

### B. PROJECT OBJECTIVES

The purpose of this funding opportunity is to support state agency security enhancement projects that fall within one of the Cal OES HSGP Investment Justifications (IJs). The whole community approach is inclusive of local units of government, tribes, and nonprofit organizations, including partners at the state level. Statewide preparedness activities must address high-priority preparedness gaps across one or more of the 32 core capabilities. All proposed activities **MUST** have a direct nexus to the Prevention, Protection, Mitigation of, Response to, or Recovery from acts of terrorism. Proposed projects must support one of the IJs provided:

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- IJ #1: [Fusion Centers Only] Strengthen Capabilities of the State Threat Assessment System
- IJ #2: Protect Critical Infrastructure and Key Resources (Includes Food and Agriculture)
- IJ #3: Enhance Cybersecurity
- IJ #4: Strengthen Emergency Communications Capabilities through Planning, Governance, Technology, and Equipment
- IJ #5: Enhance Medical and Public Health Preparedness
- IJ #6: Preventing Violent Extremism Through Multi-Jurisdictional/Inter-Jurisdictional Collaboration and Coordination
- IJ #7: Enhance Community Resilience, Including Partnerships with Volunteers and Community-Based Organizations and Programs
- IJ #8: Strengthen Information Sharing and Collaboration
- IJ #9: Enhance Multi-Jurisdictional/Inter-Jurisdictional All Hazards Incident Planning, Response & Recovery Capabilities
- IJ #10: Homeland Security Exercise, Evaluation, and Training Programs

**C. AWARD & ELIGIBILITY INFORMATION**

Eligible Applicants (Subrecipients):	California State Agencies
Total Amount Available for Solicitation:	\$2,195,896
Projected Number of Awards:	11
Period of Performance:	12 Months
Cost Share or Match Requirement:	Cost Share or Match NOT Required

**D. CONTACT INFORMATION**

Questions concerning this RFP, the proposal process, or programmatic issues must be submitted via e-mail to:

Darren Tsang  
Unit Supervisor  
Homeland Security Grants Unit  
Darren.Tsang@caloes.ca.gov

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Cal OES staff cannot assist the Applicant with the actual preparation of their proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, Cal OES can only respond to technical questions about the RFP.

### E. PROJECT ACTIVITY GUIDELINES

Proposals will be considered by Cal OES for eligibility based on the scoring criteria identified in Part III. All projects must have a clear and direct nexus to the Prevention, Protection, Mitigation, Response, or Recovery of a terrorism event and meet the criteria listed in the California Supplement to the Federal Notice of Funding Opportunity. Additional information on allowable activities may be found on FEMA's Homeland Security Grant Program page: <https://www.fema.gov/homeland-security-grant-program>

FEMA has identified the allowable categories of cost under the HSGP as Planning, Organization, Equipment, Training, and Exercise. The following is a brief description of examples of costs associated with each of these categories:

#### **Planning**

HSGP funds may be used for a range of preparedness and planning activities, provided a direct nexus to terrorism exists. Allowable planning activities are associated with the development, review, and revision of a Threat and Hazard Identification and Risk Assessment, continuity of operations plan, and other planning activities that support the National Preparedness Goal and placing an emphasis on updating and maintaining a current Emergency Operations Plan that conforms to the guidelines outlined in Comprehensive Preparedness Guide (CPG) 101 v2.0. Planning activities generally result in a final, tangible end product.

#### **Organization**

Organizational activities are generally associated with specific personnel, groups or teams, or an overall organizational structure, necessary to perform assigned missions and tasks to build or sustain capabilities, provide operational support, or to implement programs with a nexus to terrorism.

#### **Equipment**

Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. Equipment being purchased must be found in the Authorized Equipment List (AEL). Additional approvals may be required for specific allowable equipment items. In addition, Applicants must obtain and maintain all necessary certifications and licenses for the requested equipment. The 21 allowable equipment categories and up-to-date equipment standards for the HSGP are listed on the web-based version of the AEL, at <http://fema.gov/authorized-equipment-list>.

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### **Training**

Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under HSGP and/or in conjunction with emergency preparedness training. Training conducted using HSGP funds should address a performance gap identified in a Training and Exercise Plan or other assessment and contribute to building a capability. All training courses must receive a Training Feedback number from Cal OES Training & Exercise prior to the start of the course.

### **Exercise**

Exercises conducted with HSGP funding should be managed and conducted consistent with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP guidance for exercise design, development, conduct, evaluation, and improvement planning can be found at <https://www.fema.gov/exercise>. All field-based exercises must obtain approval from FEMA and Cal OES through the Environmental Planning and Historic Preservation (EHP) process prior to the start of the exercise.

All projects must be completed within the established period of performance of 12 months. Any costs incurred outside of the performance period will be unallowable under the grant award.

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, and emergency response apparatus (e.g., fire trucks, ambulances).
- Equipment that is purchased for permanent installation and/or use, beyond the scope of the conclusion of the exercise (e.g., electronic messaging signs).

## F. SPECIAL CONSIDERATIONS

### **Environmental Planning and Historic Preservation**

DHS/FEMA is required to consider the effects of its actions on environmental, historic, or cultural resources to ensure all activities and programs funded by the agency, including grant-funded projects, comply with federal EHP regulations, laws, and Executive Orders, as applicable. As a Recipient of DHS/FEMA funding, these requirements are assumed by Cal OES and Subrecipients of Cal OES. Proposed projects that have the potential to impact the environment, including, but not limited to the construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction, including replacement of facilities, must participate in the DHS/FEMA EHP review process.

The EHP review process involves the submission of a detailed project description along with supporting documentation, so that DHS/FEMA may determine whether the proposed project has the potential to impact environmental resources or historic

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or cultural properties. In some cases, DHS/FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project; otherwise, DHS/FEMA and Cal OES may not be able to fund the project due to non-compliance with EHP laws, Executive Orders, regulations and policies.

Examples of activities requiring EHP review include field-based training, full-scale exercises, and select equipment, such as communications towers and physical security enhancement equipment. If the project could result in adverse impacts to those resources, it may be necessary to change the scope of the project to avoid those impacts or to incorporate mitigation measures to minimize the impacts to those resources.

### **Requirements Applicable to Emergency Communications Projects**

HS GP funds used to support IJ #4 – Strengthen Emergency Communications Capabilities through Planning, Governance, Technology, and Equipment must comply with the SAFECOM Guidance on Emergency Communications Grants, which can be found at <https://www.dhs.gov/safecom/funding>, Projects supporting this IJ must also align with the California Statewide Communication Interoperability Plan (CalSCIP), found at <https://www.caloes.ca.gov/cal-oes-divisions/public-safety-communications/ca-9-1-1-emergency-communications-branch/california-interoperable-communications>. Alignment may be accomplished by identifying the project's link to a CalSCIP Goal, found in Appendix A of the CalSCIP.

### **Specialized Equipment - Small Unmanned Aircraft Systems, Aircraft, Watercraft**

While *Executive Order (EO) 13809 Restoring State, Tribal, and Local Law Enforcement's Access to Life-Saving Equipment and Resources* and the subsequent DHS/FEMA Information Bulletin (IB) #426 rescinded controlled equipment requirements implemented under *EO 13688 Federal Support for Local Law Enforcement Equipment Acquisition*, several controls continue to be in place for select equipment items, such as small unmanned aircraft systems, manned aircraft, and watercraft.

These categories of equipment have significant utility for state, local, and tribal grant Subrecipients. However, the nature of the equipment and the potential impact on communities will require additional justification and approvals before acquisition. Please refer to IB 426 and the AEL for additional information regarding these items.

Systems, Small Unmanned Aircraft (03OE-07-SUAS)  
Aircraft (18AC-00-ACFT)  
Watercraft (17WC-00-BOAT)

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Several categories of equipment continue to be prohibited under HSGP, including:

- Weapons and weapons accessories, including ammunition
- Weaponized aircraft, vessels, and vehicles of any kind
- Grenade launchers
- Bayonets

### **Reporting – Biannual Strategy Implementation Report (BSIR)**

Subrecipients of HSGP funding are responsible for completing and submitting BSIRs through the Grants Reporting Tool (GRT). The BSIR is due within 30 days after the end of the reporting period: July 30 for the reporting period of January 1 through June 30 (summer BSIR report); and January 30 for the reporting period of July 1 through December 31 (winter BSIR report). All required attributes of each project must be included. Updated obligations, expenditures, and significant developments must be provided within the BSIR to show progress of implementation for every project, as well as how expenditures support Planning, Organization, Equipment, Training and Exercise.

### **Changes to Scope of Work**

Due to the competitive process, changes to the scope of work will not be permitted. The expectation is for each Applicant to thoroughly plan out the entire process of each proposed project, from project conception to completion. Please ensure the projects being proposed are well planned and detailed. Funds remaining at the end of the performance period will be disencumbered and returned to Cal OES.

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**PART II – RFP INSTRUCTIONS**

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- A. PROPOSAL DUE DATE AND SUBMISSION INSTRUCTIONS**
  - B. PROPOSAL COMPONENTS**
  - C. RESOURCES (web links)**
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**A. PROPOSAL DUE DATE AND SUBMISSION INSTRUCTIONS**

The Notice of Interest (NOI), Subrecipient Grants Management Assessment Form, and Standard 204 form must be submitted to Cal OES no later than **5:00pm Friday, April 19, 2019**. Only electronic submissions will be accepted. Proposals submitted after this time/date will **not** be considered. Applicants may e-mail their proposals to:

Darren Tsang  
Unit Supervisor  
Homeland Security Grants Unit  
Darren.Tsang@caloes.ca.gov

**B. PROPOSAL COMPONENTS**

Your proposal **MUST** include the following documents in order to be considered for funding:

1. NOI
  - Description of the capability gap
  - Project description and how it will build or sustain one or more core capabilities
  - Explanation of nexus to terrorism
  - Explanation of how project(s) will be completed within 12 months, including a timeline with milestones
  - Budget
2. Subrecipient Grants Management Assessment Form
3. Payee Data Record (STD 204) Form, can be found at <https://www.dgsapps.dgs.ca.gov/osp/StatewideFormsWeb/Forms.aspx> and attached to this packet. Each Applicant must complete and submit an accurate STD 204 Form, which lists the correct name, as reported on the payee's Internal Revenue Service (IRS) tax return, and must be in good standing with federal and state requirements.

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**\*Grant applications are subject to the California Public Records Act, Government Code Section 6250 *et seq.* Do not put any personally identifiable information or private information on this application. If you believe that any of the information you are putting on this application is exempt from the Public Records Act, please attach a separate statement that indicates what portions of the application and the basis for the exemption. Your statement that the information is not subject to the Public Records Act will not guarantee that the information will not be disclosed.**

Applicants must also have a Data Universal Numbering System (DUNS) number, an Employer Identification Number (EIN), and be registered in the System for Award Management (SAM) prior to receiving a Grant Subaward from Cal OES.

### **DUNS Number**

Instructions for obtaining a DUNS number can be found at the following website:  
<http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

### **System for Award Management**

In addition to having a DUNS number, Applicants must register with SAM. Step-by-step instructions for registering with SAM can be found at  
<http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>.

DHS/FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for Grant Subaward payment; both EIN and DUNS are also required to register with SAM (see below). The EIN base for an organization is the Internal Revenue Service (IRS) Tax ID number (the EIN is a nine-digit number). Organizations submitting their applications must correctly differentiate the EIN from the DUNS since both are nine-digit numbers.

Organizations applying for an EIN should plan on a minimum of two full weeks to obtain an EIN. For assistance in registering an EIN please contact the IRS helpline. DHS/FEMA and Cal OES cannot assist Applicants with questions related to obtaining a current EIN.

### C. RESOURCES (web links)

HSGP, California State Agencies, Request for Proposal  
<https://www.caloes.ca.gov/cal-oes-divisions/grants-management/search-for-grants>

Subrecipient Grants Management Assessment Form  
<http://caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/homeland-security-grants-program>

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HSGP NOFO

<http://caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/homeland-security-grants-program>

HSGP California Supplement to the Federal NOFO

<http://caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/homeland-security-grants-program>

DHS/FEMA Information Bulletins

<https://www.fema.gov/grant-programs-directorate-information-bulletins>

List of Mission Areas and Core Capabilities

<https://www.fema.gov/media-library/assets/images/127427>

AEL

<http://fema.gov/authorized-equipment-list>

SAFECOM

<https://www.dhs.gov/safecom/funding>

CalSCIP

<https://www.caloes.ca.gov/cal-oes-divisions/public-safety-communications/ca-9-1-1-emergency-communications-branch/california-interoperable-communications>

DUNS #

<http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

SAM

<http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

STD 204 Form

<https://www.dgsapps.dgs.ca.gov/osp/StatewideFormsWeb/Forms.aspx>

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**PART III – PROPOSAL EVALUATION**

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- A. EVALUATION CRITERIA**
  - B. EVALUATION CRITERIA DEFINED**
  - C. FUNDING RECOMMENDATION**
  - D. NOTIFICATION PROCESS**
  - E. APPEAL OF DECISION**
  - F. POST AWARD REQUIREMENTS**
  - G. ALLOCATION CONTINGENT ON RECEIPT OF FEDERAL AWARD**
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**A. EVALUATION CRITERIA**

Funding will be awarded to the highest-ranked proposals. Evaluation of the proposals is based on four scored criteria, and one qualifier, with a total of 50 points. **Projects that do not have a direct nexus to terrorism or cannot be completed within a 12-month performance period will be disqualified.**

Applications will be evaluated as follows:

<b>Evaluation Criteria</b>	<b>Maximum Value</b>
• Describe the capability gap(s) the project(s) will be addressing.	<b>10 Points</b>
• Describe the proposed project(s) and how it will build or sustain one or more of the 32 core capabilities.	<b>20 Points</b>
A. Project Description <span style="float: right;"><i>(10 Points)</i></span>	
B. Ability to build or sustain core capabilities <span style="float: right;"><i>(10 Points)</i></span>	
• Explain the project’s nexus to terrorism.	<b>Qualifier</b>
• Describe how the project(s) will be completed within a performance period of 12 months. Please provide a timeline with key milestones.	<b>10 points</b>
• Provide a budget breakdown of all allowable costs. Where applicable, please provide a list of equipment to be purchased, including quantities, costs, AEL numbers, and AEL titles.	<b>10 points</b>

Points may be deducted during the rating process based on negative past performance under a prior HSGP award (i.e. extension requested, funds disencumbered, failure to submit required documents and reports). Points may also be deducted if all proposal documents are not submitted.

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Cal OES will review and approve projects which meet the criteria based on the AEL and the scoring system established for this Program. All projects must be completed within the Subrecipient performance period. All applicable HSGP guidelines and policies remain in effect for the grant.

### B. EVALUATION CRITERIA DEFINED

#### **Describe the capability gap(s) the project(s) will be addressing.**

The proposed project(s) should seek to address a capability gap in one or more of the 32 core capabilities. The Applicant should identify how the capability gap was identified (e.g., exercise after action report, risk assessment, etc.) and how that gap translates to increased vulnerability or greater consequence from a potential terrorist incident. The Applicant should also identify which IJ the project will be supporting.

A crosswalk of the Mission Areas and Core Capabilities may be found at <https://www.fema.gov/media-library/assets/images/127427>.

#### **Describe the proposed project(s) and how it will build or sustain one or more of the 32 core capabilities.**

*Project Description:* The Applicant should thoroughly describe the project(s) being proposed, outlining the various elements or stages involved to implement or complete the project, including the end-goal of the project. If the proposed project is part of a multi-phased project, the totality of the multi-phased project should be described, along with how and where the proposed project fits into the grand scheme. If the project supports IJ #4, please identify the CalSCIP Governance Goal the project aligns to in this section.

*Ability to build or sustain core capabilities:* Proposed projects must build new capabilities or help sustain existing capabilities. The Applicant should describe how the identified capability or capabilities are being improved or sustained to better prepare for an act of terrorism.

#### **Explain the project's nexus to terrorism.**

The HSGP requires all projects to have a clear nexus to terrorism. Proposed projects **MUST** have a direct nexus to the Prevention, Protection, Mitigation, Response, or Recovery from an act of terrorism. Weather-related emergency management projects without a clear nexus to terrorism will **NOT** be considered, such as projects that solely address climate change, earthquakes, tsunamis, and drought. Projects that do not meet these criteria will be disqualified.

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**Describe how the project(s) will be completed within a performance period of 12 months. Please provide a timeline with key milestones.**

Proposed projects must be completed within a 12-month timeframe. A timeline with milestones should provide a clear outline of activities that lead up to the completion of the project.

Projects that have a potential to impact environmental, historic, or cultural resources must participate in the EHP review process, including projects involving ground disturbance, equipment installation at a building or structure, sonar, and communications towers. The EHP review process may take as little as one month to as much as one year to complete, depending on the location and complexity of the project, and should be incorporated into the timeline, where applicable.

**Provide a budget breakdown of all allowable costs. Where applicable, please provide a list of equipment to be purchased, including quantities, costs, AEL numbers, and AEL titles.**

Applicants should provide cost-effective solutions to a capability gap. Providing an analysis of alternatives for achieving the same results, and concluding the provided project is more cost-effective or if it is the only solution, is encouraged. Costs must be reasonable and/or be supported with price quotes, examples of similar projects from other agencies, hyperlinks to product sites, etc.

The budget should include detailed costs, outlined to provide line-item detail, and add up to the total amount of funding being requested in the proposal.

**NOTE:** The Cal OES Subrecipient Grants Management Assessment Form will not be evaluated for content or experience. However, points may be deducted if this form is excluded from the proposal package.

### C. FUNDING RECOMMENDATION

Final funding decisions are made by the Director of Cal OES. Funding recommendations are based on the following:

- The ranked score of the application.
- Consideration of funding priorities.
- Prior negative administrative and programmatic performance, if applicable.

Projects previously funded by Cal OES will be reviewed for past compliance, including fiscal management, progress and annual reports, audit reports, and other relevant documentation or information. This review may result in one or more of the following actions:

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- The project may not be selected for funding.
- The amount of funding may be reduced.
- Grant Subaward Special Conditions may be included in the Grant Subaward.

### D. NOTIFICATION PROCESS

Applicants will be notified of the results of the rating process in writing. Applicants not selected for funding will receive a notification letter containing their average score and information on the appeal process.

### E. APPEAL OF DECISION

Applicants are entitled to appeal the denial of funding pursuant to the Cal OES Appeal Guidelines for Competitive Funding Decisions. A copy of these guidelines may be requested by contacting:

Darren Tsang  
Unit Supervisor  
Homeland Security Grants Unit  
Darren.Tsang@caloes.ca.gov

### F. POST AWARD REQUIREMENTS

Applicants identified for funding must submit all documentation listed in the Fiscal Year 2018 Homeland Security Grant Program California Supplement to the Federal Notice of Funding Opportunity. Refer to Attachment F of the application kit for a checklist of required documents. The Financial Management Forms Workbook (FMFW) can be located at <http://www.caloes.ca.gov/for-businesses-organizations/how-we-help/grants-processing-programs/homeland-security-grants-processing>. A hardcopy of all original signed forms must be submitted.

### G. ALLOCATION CONTINGENT ON RECEIPT OF FEDERAL AWARD

Cal OES does not have the authority to disburse federal funds until the federal Grant Award is received. Expenditures incurred prior to authorization are made at the Subrecipient's own risk and may be disallowed. Cal OES employees are not able to authorize an Applicant to incur expenses or financial obligations prior to the execution of a Grant Subaward. However, once the Grant Subaward is finalized, the Subrecipient may claim reimbursement for expenses incurred on, or subsequent to, the start of the Grant Subaward performance period.

If, during the term of the Grant Subaward, federal funds appropriated for the purposes of the Grant Subaward are reduced or eliminated by the United States Government, or any other action that impacts federal funds received by Cal OES,

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Cal OES may immediately terminate or reduce the Grant Subaward by written notice to the Subrecipient. However, no such termination or reduction shall apply to allowable costs already incurred by the Subrecipient to the extent federal funds are available for payment of such costs.

Cal OES Grant Subawards are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to the execution of the Grant Subaward.