


Obligating Document for Award

STATE GRANT NUMBER: 19HSBLNGSHAZ	SUB-RECIPIENT NAME AND ADDRESS: City of Billings 2305 8th Avenue North Billings, MT 59101	ISSUING STATE OFFICE AND ADDRESS: Montana Disaster and Emergency Services P.O. Box 4789 1956 MT Majo Street Fort Harrison, MT 59636-4789
FEDERAL AGREEMENT NUMBER: EMW-2019-SS-00010		
AMENDMENT NUMBER:		
NAME OF SUB-RECIPIENT AUTHORIZED REPRESENTATIVE: Jason Lyon	SUB-RECIPIENT AUTHORIZED REPRESENTATIVE CONTACT INFORMATION: lyonj@ci.billings.mt.us 406-237-6223	NAME AND CONTACT INFORMATION OF MT DES PREPAREDNESS BRANCH MANAGER: Burke Honzel bhonzel@mt.gov (406) 324-4771
EFFECTIVE DATE OF THIS ACTION: 10/01/2019	METHOD OF PAYMENT: EFT	NAME AND CONTACT INFORMATION OF MT DES GRANT COORDINATORS: Amanda Avard amanda.avard@mt.gov 406-324-4785
FEDERAL AWARD AMOUNT: \$250,000.00		PERIOD OF PERFORMANCE: From: 10/01/2019 To: 09/30/2021
ASSISTANCE ARRANGEMENT: Cost Reimbursement	CFDA #: 97.067	Budget Period: From: 10/01/2019 To: 09/30/2021
SUB-RECIPIENT SIGNATORY OFFICIAL (Name and Title) William A. Cole, Mayor		DATE
SUB-RECIPIENT AUTHORIZED REPRESENTATIVE (Name and Title) Jason Lyon, Battalion Chief/HazMat Coordinator		DATE
MT DES SIGNATORY (Name and Title)  Burke Honzel, Preparedness Bureau Chief, Authorized Organizational Representative		DATE 11 SEP 2019



State Homeland Security Program (SHSP)

FY 19 Award Letter

City of Billings
2305 8th Avenue North
Billings, MT 59101

Congratulations, on behalf of Montana Disaster and Emergency Services (MT DES), the application for financial assistance submitted under the Fiscal Year (FY) 2019 State Homeland Security Program, Hazmat Team Sustainment project, has been approved in the amount of \$250,000.00. City of Billings is not required to match this award with any amount of non-Federal funds.

Before City of Billings requests and receives any of the Federal funds awarded, acceptance of the award must be established. By accepting this award, City of Billings acknowledges that the terms of the following documents are incorporated into the terms of this award:

- Agreement Articles (attached to this Award Letter)
- Nationwide Cybersecurity Review Requirement
- Obligating Document for Award (attached to this Award Letter)
- FY 19 Homeland Security Grant Program Notice of Funding Opportunity

Per the Notice of Funding Opportunity (NOFO), all sub-recipients are required to complete the Nationwide Cybersecurity Review, see Agreement Article XLVII. MT DES will provide more guidance upon release from DHS.

Please make sure you read, understand, and maintain a copy of these documents in the official file for this award. In order to establish acceptance of the award and its terms, please complete, sign and return the Obligating Document for Award to your MT DES Grant Coordinator.

For additional assistance, please contact your MT DES Grant Coordinator.

A handwritten signature in cursive script that reads "Delila Bruno".

Delila Bruno
Administrator
Montana Disaster and Emergency Services

CC Jason Lyon



AGREEMENT ARTICLES
State Homeland Security Program

SUB-RECIPIENT: City of Billings
PROGRAM: State Homeland Security Program
STATE GRANT NUMBER: 19HSBLNGSHAZ

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Article I - Summary Description of Award

The purpose of the FY 2019 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

Article II - 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 III - 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. DHS/FEMA is also utilizing its discretion to impose an additional restriction under 2 C.F.R. Section 200.308(e) regarding the transfer of funds among direct cost categories, programs, functions, or activities. Therefore, for awards with an approved budget where the Federal share is greater than the simplified acquisition threshold (currently \$250,000), 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 IV - 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 V - Assurances, Administrative Requirements, Cost Principles, Representation and Certifications

DHS financial assistance recipients must complete either the Office of Management and Budget (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 (DHS FAO) 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 DHS FAO 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 Title 2, Code of Federal Regulations (C.F.R.) Part 200, and adopted by DHS at 2 C.F.R. Part 3002.

Article VI - 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. Recipients of federal financial assistance from DHS must complete the *DHS Civil Rights Evaluation Tool* within thirty (30) days of receipt of the Notice of Award or, for State Administering Agencies, thirty (30) days from receipt of the DHS Civil Rights Evaluation Tool from DHS or its awarding component agency. Recipients are required to provide this information once every two (2) years, not every time an award is made. After the initial submission for the first award under which this term applies, recipients are only required to submit updates every two years, not every time a grant is awarded. Recipients should submit the completed tool, including supporting materials, to CivilRightsEvaluation@hq.dhs.gov. This tool clarifies the civil rights obligations and related reporting requirements contained in the DHS Standard Terms and Conditions. Subrecipients are not required to complete and submit this tool to DHS. The evaluation tool can be found at <https://www.dhs.gov/publication/dhs-civil-rights-evaluation-tool>.

Article VII - Acknowledgement of Federal Funding from DHS

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

Article VIII - Activities Conducted Abroad

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 IX - Age Discrimination Act of 1975

Recipients must comply with the requirements of the *Age Discrimination Act of 1975*, Pub. L. No. 94-135 (1975) (codified as amended at 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 X - Americans with Disabilities Act of 1990

Recipients must comply with the requirements of Titles I, II, and III of the *Americans with Disabilities Act*, Pub. L. No. 101-336 (1990) (codified as amended at 42 U.S.C. sections 12101-12213), 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.

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

Recipients who collect PII are required to have a publicly available privacy policy that describes standards on the usage and maintenance of the PII they collect. 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. Recipients may also find the DHS Privacy Impact Assessments: Privacy Guidance and Privacy Template as useful resources respectively.

Article XII - Civil Rights Act of 1964 - Title VI

Recipients must comply with the requirements of Title VI of the *Civil Rights Act of 1964* (codified as amended at 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 XIII - Civil Rights Act of 1968

Recipients must comply with Title VIII of the *Civil Rights Act of 1968*, Pub. L. No. 90-284, as amended through Pub. L. 113-4, 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 (see 42 U.S.C. section 3601 *et seq.*), as implemented by the U.S. 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. Part 100, Subpart D.)

Article XIV - Copyright

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 XV - Debarment and Suspension

Recipients are subject to the non-procurement debarment and suspension regulations implementing Executive Orders (E.O.) 12549 and 12689, which are at 2 C.F.R. Part 180 as adopted by DHS at 2 C.F.R. Part 3000. 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 XVI - Drug-Free Workplace Regulations

Recipients must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of 2

C.F.R. Part 3001, which adopts the Government-wide implementation (2 C.F.R. Part 182) of sec. 5152-5158 of the *Drug-Free Workplace Act of 1988* (41 U.S.C. sections 8101-8106).

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

Recipients must comply with the requirements of Title IX of the *Education Amendments of 1972*, Pub. L. No. 92-318 (1972) (codified as amended at 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 XIX - Energy Policy and Conservation Act

Recipients must comply with the requirements of the *Energy Policy and Conservation Act*, Pub. L. No. 94-163 (1975) (codified as amended at 42 U.S.C. section 6201 *et seq.*), which contain policies relating to energy efficiency that are defined in the state energy conservation plan issued in compliance with this Act.

Article XX - False Claims Act and Program Fraud Civil Remedies

Recipients must comply with the requirements of the *False Claims Act*, 31 U.S.C. sections 3729-3733, which prohibits the submission of false or fraudulent claims for payment to the federal government. (See 31 U.S.C. sections 3801-3812, which details the administrative remedies for false claims and statements made.)

Article XXI - 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 XXII - Federal Leadership on Reducing Text Messaging while Driving

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 XXIII - Fly America Act of 1974

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 XXIV - 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, 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*, codified as amended at 15 U.S.C. section 2225.

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

Recipients must comply with the *Title VI of the Civil Rights Act of 1964* (42 U.S.C. section 2000d *et seq.*) 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 XXVI - Lobbying Prohibitions

Recipients must comply with 31 U.S.C. section 1352, which provides that none of the funds provided under a 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 related to a federal award or contract, including any extension, continuation, renewal, amendment, or modification.

Article XXVII - National Environmental Policy Act

Recipients must comply with the requirements of the *National Environmental Policy Act of 1969*, Pub. L. No. 91-190 (1970) (codified as amended at 42 U.S.C. section 4321 *et seq.*) (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 XXVIII - 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. 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 XXIX - Non-Supplanting Requirement

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 - 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 XXXI - Patents and Intellectual Property Rights

Unless otherwise provided by law, recipients are subject to the *Bayh-Dole Act*, 35 U.S.C. section 200 *et seq.* Recipients are subject to the specific requirements governing the development, reporting, and disposition of rights to inventions and patents resulting from federal 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 XXXII - Procurement of Recovered Materials

States, political subdivisions of states, and their contractors must comply with Section 6002 of the *Solid Waste Disposal Act*, Pub. L. No. 89-272 (1965) (codified as amended by the *Resource Conservation and Recovery Act*, 42 U.S.C. section 6962. 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 XXXIII - Rehabilitation Act of 1973

Recipients must comply with the requirements of Section 504 of the *Rehabilitation Act of 1973*, Pub. L. No. 93-112 (1973) (codified as amended at 29 U.S.C. section 794), 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 XXXIV - Reporting of Matters Related to Recipient Integrity and Performance

If the total value of any currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then the recipients 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 XXXV - Reporting Subawards and Executive Compensation

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 XXXVI - SAFECOM

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 XXXVII - Terrorist Financing

Recipients must comply with E.O. 13224 and U.S. laws 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 XXXVIII - Trafficking Victims Protection Act of 2000

Recipients must comply with the requirements of the government-wide financial assistance award term which implements Section 106(g) of the *Trafficking Victims Protection Act of 2000* (TVPA), codified as amended at 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.

Article XXXIX - Universal Identifier and System for Award Management

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.

Article XL - USA Patriot Act of 2001

Recipients must comply with requirements of Section 817 of the *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001* (USA PATRIOT Act), which amends

18 U.S.C. sections
175-175c.

Article XLI - Use of DHS Seal, Logo and Flags

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 XLII - Whistleblower Protection Act

Recipients must comply with the statutory requirements for whistleblower protections (if applicable) at 10 U.S.C section 2409, 41 U.S.C. section 4712, and 10 U.S.C. section 2324, 41 U.S.C. sections 4304 and 4310.

Article XLIII - Environmental Planning and Historic Preservation

DHS/FEMA funded activities that may require an EHP review are subject to FEMA's Environmental Planning and Historic Preservation (EHP) review process. This review does not address all federal, state, and local requirements. Acceptance of federal funding requires recipient to comply with all federal, state, and local laws. Failure to obtain all appropriate federal, state, and local environmental permits and clearances may jeopardize federal funding.

DHS/FEMA is required to consider the potential impacts to natural and cultural resources of all projects funded by DHS/ FEMA grant funds, through its EHP Review process, as mandated by the National Environmental Policy Act; National Historic Preservation Act of 1966, as amended; National Flood Insurance Program regulations; and, any other applicable laws and Executive Orders. To access the FEMA's EHP screening form and instructions, go to the DHS/FEMA website at: [https:// www.fema.gov/media-library/assets/documents/90195](https://www.fema.gov/media-library/assets/documents/90195). In order to initiate EHP review of your project(s), you must complete all relevant sections of this form and submit it to the Grant Programs Directorate (GPD) along with all other pertinent project information. Failure to provide requisite information could result in delays in the release of grant funds.

If ground disturbing activities occur during construction, applicant will monitor ground disturbance, and if any potential archeological resources are discovered, applicant will immediately cease work in that area and notify the pass-through entity, if applicable, and DHS/FEMA.

Article XLIV - MT DES Specific Acknowledgements and Assurances

Sub-recipients must acknowledge and agree to comply with applicable provisions governing MT DES access to records, accounts, documents, information, facilities, and staff.

1. Sub-recipients must cooperate with any compliance reviews or compliance investigations conducted by MT DES.
2. Sub-recipients must give MT DES 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 MT DES regulations and other applicable laws or program guidance.
3. Sub-recipients must submit timely, complete, and accurate reports to the appropriate MT DES officials and maintain appropriate backup documentation to support the reports.
4. Sub-recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. The State of Montana shall not be liable for any reimbursement amount greater than the award amount available to each sub-recipient.
6. Failure of the sub-recipient to accomplish SHSP objectives may result in the reduction or withholding of funds, or other action, as determined by MT DES.

The State of Montana has the right to seek judicial enforcement of these obligations.

Article XLV - Accruals

As established within Montana Operations Manual Policy, accrual documentation is required of all sub-recipients by the Montana Department of Administration, State Financial Services Division, and must be submitted to MT DES no later than the second week of June, or as instructed by MT DES.

Article XLVI – Authorized Representative

As evidenced by the signatures found in the Letter of Obligation, the Sub-Recipient Signatory Official agrees to appoint the Sub-Recipient Authorized Representative to act on behalf of City of Billings. This individual shall be duly authorized with all necessary powers with regard to the administration and oversight of the 2019 State Homeland Security Program grant, 19HSBLNGSHAZ. The Catalog of Federal Domestic Assistance (CFDA) number associated with this grant is 97.067.

Article XLVII - Nationwide Cybersecurity Review

Recipients and subrecipients of FY 2019 grant awards will be required to complete the 2019 Nationwide Cybersecurity Review (NCSR), enabling agencies to benchmark and measure progress of improving their cybersecurity posture. The Chief Information Officer (CIO), Chief Information Security Officer (CISO), or equivalent for each recipient and subrecipient should complete the NCSR. If there is no CIO or CISO, the most senior cybersecurity professional should complete the assessment. The NCSR is available at no cost to the user and takes approximately 2-3 hours to complete. The 2019 NCSR will be open from October – December 2019.

REQUIRED

NATIONWIDE CYBERSECURITY REVIEW (NCSR)

Per the FY19 Homeland Security Grant Program (HSGP) Notice of Funding Opportunity (NOFO), recipients and sub-recipients for the FY19 State Homeland Security Program (SHSP) award are required to complete the 2019 Nationwide Cybersecurity Review (NCSR) between October 1, 2019 - December 31, 2019. As part of this effort, the attached materials are being provided to increase awareness and understanding of this new requirement, as well as support for registration and completion of the NCSR.

The attached contains the following materials:

1. **Instructions** – Guide on how to register for the NCSR and report completion.
2. **NCSR One Page Overview** – Where to register, benefits of completion, and resources for support including a link to register for the upcoming 9/20 NCSR webinar.
3. **NCSR General User Guide** – Step-by-step instructions on how to register for the NCSR, track progress and completion, and utilize the results reports.
4. **NCSR Frequently Asked Questions** – Answers to common questions about the NCSR such as requirements, logistics, and privacy.
5. **Exporting the NCSR Completion Certification** – A documented process on how to access and export the 2019 NCSR Completion Certification, for an end user to communicate with their SAA or UASI POC.

If you have any questions related to the attached materials, administrative/technical questions about the NCSR, please contact the Multi-State Information Sharing and Analysis Center (MS-ISAC) at ncsr@clsecurity.org.

[Initial Notification to Register for NCSR](#)

As stated in the [FY19 Homeland Security Grant Program \(HSGP\) Notice of Funding \(NOFO\)](#), recipients and sub-recipients for the FY19 State Homeland Security Program (SHSP) and Urban Area Security Initiative (UASI) awards are required to complete the [2019 Nationwide Cybersecurity Review \(NCSR\)](#) by the end of calendar year 2019 to benchmark and measure their progress of improving their cybersecurity posture.

The Nationwide Cybersecurity Review (NCSR) is a no cost, anonymous, annual self- assessment that is designed to measure gaps and capabilities of state, local, tribal and territorial (SLTT) governments' cybersecurity programs. The 2019 NCSR will be open from **October 1, 2019 – December 31, 2019**.

Registration and Access


To register for the NCSR, please visit the following website: <https://www.cisecurity.org/ms-isac/services/ncsr/>. Once an organization has registered, the user will receive their credentials from noreply@archer.rsa.com.

To access the NCSR portal, please visit the following link: <https://grc.archer.rsa.com>. The user will then enter their credentials and use the provided Instance Number: **20244**. Please refer to the [NCSR General User Guide](#) for step-by-step instructions for logging in and completing the assessment.

Reporting Completion

When the 2019 NCSR is completed and submitted, the individual user will have the following report information displayed on the NCSR portal's home dashboard:

2019 NCSR Completion Certification

Organization	Questionnaire ID	Year	Progress	Progress Status	Org User	Postal Code
Test 2019	480336	2019	141 of 141 Completed		.test	12345

The individual user will have the ability to export the above information to a PDF. The PDF can be sent to the State Administrative Agency (SAA), to verify they have completed the 2019 NCSR requirement.

Once the 2019 NCSR officially closes, the aggregated data is used in a Summary Report that is designed to measure the gaps and capabilities of SLTT governments' cybersecurity programs.

For additional questions or assistance, email NCSR@cisecurity.org.



NCSR 2019 October 1 – December 31

Overview

The Nationwide Cybersecurity Review (NCSR) is a no cost, anonymous, annual self-assessment that is designed to measure gaps and capabilities of state, local, tribal and territorial (SLTT) governments' cybersecurity programs.

The NCSR is aligned to the National Institute of Standards and Technology (NIST) Cybersecurity Framework (CSF). The CSF provides a common language for understanding, managing, and expressing cybersecurity risk. It can be used to help identify and prioritize actions for reducing cybersecurity risk, and align policy, business, and technological approaches to managing risk. Learn more here: <https://www.nist.gov/cyberframework/framework>

Register for the NCSR

To register for the 2019 NCSR, please visit the following website:
<https://www.cisecurity.org/ms-isac/services/ncsr/>

Benefits

- Receive metrics specific to your organization to identify gaps and develop a benchmark to gauge year-to-year progress, as well as anonymously measure your results against your peers
- For HIPAA compliant agencies, translate your NCSR scores to the HIPAA Security Rule scores of an automatic self-assessment tool
- Access to informative references such as NIST 800-53, COBIT, and the CIS Controls that can assist in managing cybersecurity risk
- Nationally, aggregate NCSR data provides a baseline, foundational understanding of SLTT cybersecurity posture to help drive policy, governance and resource allocation
- Results enable Federal partners to better understand the status quo and engage in more strategic, cyber-specific planning and preparedness to help manage national risk and improve SLTT core capabilities

Learn more about the NCSR

WEBINAR **2019 Nationwide Cybersecurity Review (NCSR)**
DATE **Friday, September 20, 2019**
REGISTER [Link to Register](#)

What is the Nationwide Cybersecurity Review and how do I best utilize it? Join the MS-ISAC team as they provide an overview of the NCSR along with instructions on how to register for the 2019 NCSR and navigate the portal.

Questions?

For questions regarding administrative and technical questions about the NCSR, please contact the Multi-State Information Sharing and Analysis Center (MS-ISAC) at ncsr@cisecurity.org.



NCSR 2019 October 1 – December 31

General User Guide

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Welcome to the Nationwide Cybersecurity Review (NCSR) Portal! This guide will provide you with the information needed to navigate the platform, review your results, and export your data.

Signing On

- To access the NCSR portal, please visit the following link: <https://grc.archer.rsa.com>
- You will then enter your credentials and use the provided Instance Number: 20244

If you need assistance, please contact NCSR@cisecurity.org



User Login

User Name:

Instance:

Password:

Login

> Display Domain

RSA | Archer GRC
Powered by the RSA Archer GRC Platform™

This dashboard provides a general overview of the NIST Cybersecurity Framework Functions and Categories, the response scale used to answer the assessment, along with key links.

The dashboard features a top navigation bar with 'Home' and 'E54'. Below the header, the user is identified as 'test Scarlotta'. The main content area includes a large 'Welcome to the Nationwide Cyber Security Review' banner with a detailed introduction. To the right, a 'Take the NCSR' section displays a table of questionnaire entries.

Questionnaire ID	Year	Organization	Progress Status	Entity Type	Industry
205011	2018	test	100%	Town/Township/Village	Judicial

Below the banner, there are sections for 'NCSR Instructions', 'Maturity Levels', and 'Helpful Hints'. The 'Helpful Hints' section provides guidance on navigating the dashboard and saving work.

The 'NIST Cybersecurity Framework Overview' section contains a bar chart showing the number of categories for each function:

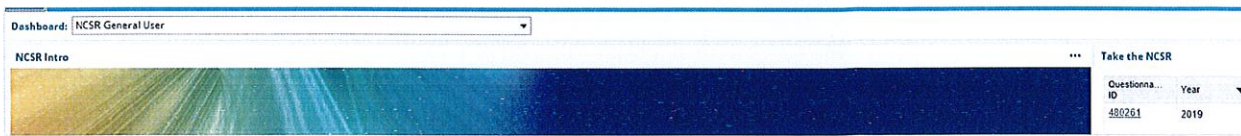
Function	Number of Categories
DETECT (DE)	3
IDENTIFY (ID)	5
PROTECT (PR)	6
RECOVER (RC)	3
RESPOND (RS)	5

To the left of the chart is a maturity level scale from 1 to 7, with corresponding descriptions of organizational readiness.

Accessing the Questionnaire:

3

Under the NCSR General User Dashboard, there is a section named “Take the NCSR” on the upper right-hand corner. Select the hyperlink under the column named “Questionnaire ID”.



Enlarged View:



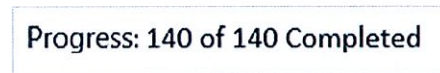
Once in the questionnaire, use the tabs to navigate through the survey.



To save any edits to your questionnaire, use the Save option in the upper left side of your screen.



Once completely finalized, be sure that your progress count is 140 of 140 completed.

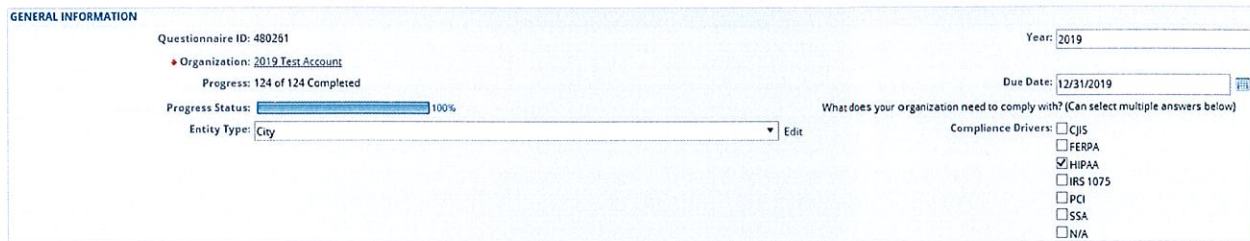


To officially submit the questionnaire, select the “Submit” option in the “Submit Self-Assessment” section.



Please note, once you change the status to “Submit”, your questionnaire is locked and a majority of the reports are generated.

Within the questionnaire, under General Information, click on your organization's name.



GENERAL INFORMATION

Questionnaire ID: 480261

Organization: [2019 Test Account](#)

Progress: 124 of 124 Completed

Entity Type: City

Year: 2019

Due Date: 12/31/2019

What does your organization need to comply with? (Can select multiple answers below)

Compliance Drivers:

- CJIS
- FERPA
- HIPAA
- IRS 1075
- PCI
- SSA
- N/A

This will bring you to an area that houses all of your organization's General Information, such as:

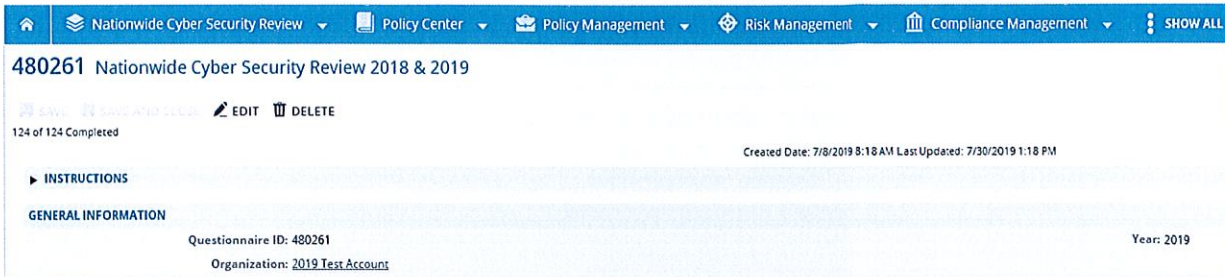
Organization, Org ID, Org Users, Entity Type, State of Origin, Compliance Drivers, Years Participated, Division, Industry, and Population.

You can utilize the displayed tabs to navigate a previous year's questionnaire and current profile.

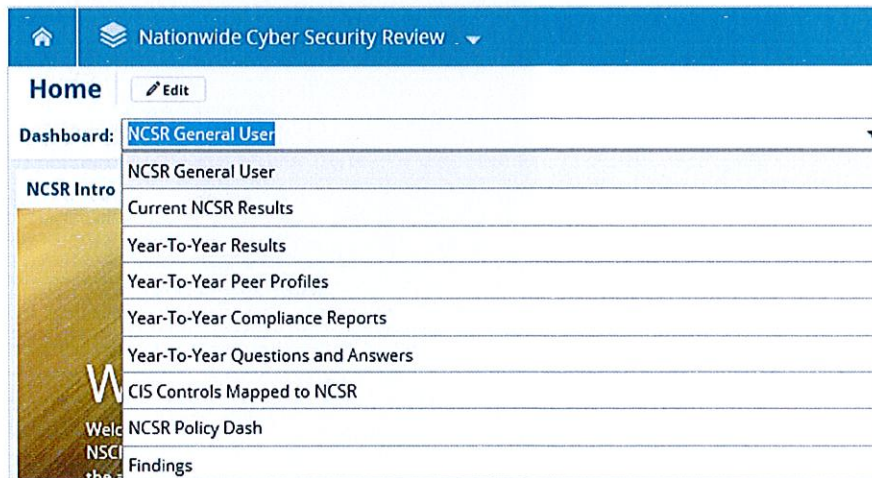


Current Profile | 2015 & 2016 NCSR Self-Assessment | 2017 NCSR Self-Assessment | 2018 & 2019 NCSR Self-Assessment

To access your reports, click on the home icon in the upper left-hand corner.



This will bring you back to the NCSR General User Dashboard, which includes a dropdown listing of additional dashboards. Please note, the listing of dashboards below will show data from NCSR's completed in past years, until the 2019 NCSR is completed.



Dashboard Option with Applicable Reports:

NCSR General User: Gives a general overview of the NIST Cybersecurity Functions and Categories, the response scale used to answer the survey, and key links.

Current NCSR Results: Provides your organization's current NCSR results across the NIST Cybersecurity Framework Functions and Categories. Please note, once your 2019 survey's progress status reaches 100% and you submit your survey, your previous year's results will be replaced with your 2019 results.

Year-To-Year Results: Provides your year-to-year NCSR results across the NIST Cybersecurity Functions and Categories.

Year-To-Year Peer Profiles: Provides your year-to-year NCSR results across the NIST Cybersecurity Functions and Categories in comparison to your peers. Your peer groups are based on your Entity Type and Industry (Example: State Health & Human Services). Please note: Your results will be compared anonymously to other organizations in your peer group. The reports will be available shortly after the survey officially closes.

Year-To-Year Compliance Reports: Provides access to your year-to-year compliance reports. Currently, we have the HIPAA Security Rule Crosswalk mapped to the NIST Cybersecurity Framework.

Year-To-Year Questions and Answers: Provides a listing of all your questionnaires and submitted answers.

CIS Controls Mapped to NCSR: Provides a report that maps the CIS Controls to the NCSR questions, along with your submitted answers.

NCSR Policy Dash: Displays access to a repository of authoritative sources that provide a general understanding on what guides and governs your organization.

Findings: Provides a report that maps your organizations NCSR questions that were answered below the recommended minimum maturity of "Implementation in Process" to the NIST Cybersecurity Framework informative references (NIST CSF 800-53, COBIT, and CIS Controls).

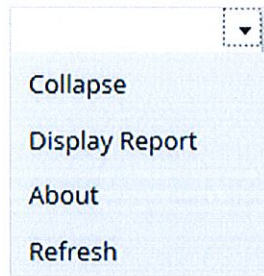
Displaying Dashboard Data & Viewing the Reports

7

Within each dashboard, you can edit how the data is displayed by clicking on the dropdown arrow in the right-hand corner.



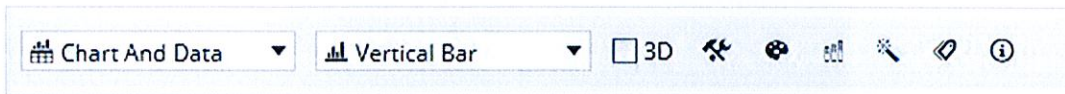
The following options appear when selecting that dropdown arrow.



Click on "Display Report". From here, you can change the way the data is displayed and/or represented by utilizing the tools highlighted below.

Please note: Not all reports are able to be displayed in graph format, as it's dependent on the number of data points being displayed.

After selecting the "Display Report" option, the following area is on the upper left side of your screen.



This allows you to change the appearance and formatting of your data and reports. For example, the field that says "Chart And Data" can be selected, and the dropdown options below will appear. You can select "Chart Only" or "Data Only". The chart is a bar graph, to give a visual on the data. The Data Only option shows only the numeric values of the specific report you are viewing.



Using the options below, you can export, print, or email the reports. These options are on the upper right side of your view within a report.



When exporting, you will have options such as Microsoft Excel and Adobe PDF.

Data Reporting Template & Additional Resources

The following page on the Center for Internet Security website gives additional NCSR details, including a link to a Word document named “NCSR End User Data Reporting Template”. That template can be used to compile your NCSR data/charts and present to your stakeholders.

<https://www.cisecurity.org/ms-isac/services/ncsr/>

Contact the NCSR Team

If you have any questions, concerns, or issues, please do not hesitate to contact an NCSR team member at NCSR@cisecurity.org, or by phone at 518-516-6154 or 518-516-6116. We will be sure to get back to you as soon as possible.

Thank you for participating in the NCSR!



Frequently Asked Questions

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- What are the benefits of participating in the NCSR? **2**
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- Can other organizations view my results? **3**
- Is my information shared with anyone outside of the MS-ISAC? **3**
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What is the Nationwide Cybersecurity Review?

Answer: The Nationwide Cybersecurity Review (NCSR) is a no-cost, anonymous, annual self-assessment, designed to measure gaps and capabilities of state, local, tribal and territorial governments' cybersecurity programs. It is based on the National Institute of Standards and Technology Cybersecurity Framework (NIST CSF). The NCSR is sponsored by the Department of Homeland Security (DHS) and the Multi-State Information Sharing and Analysis Center® (MS-ISAC®).

The NCSR question set was built upon the NIST CSF Core, with some minor alterations.

The Core consists of a collection of cybersecurity-related activities organized into five main functions: **Identify, Protect, Detect, Respond, and Recover**. Each of the five functions is subdivided into a total of 23 categories and then further into 108 sub-categories.

The NCSR leverages the 108 sub-categories as the questions for the assessment. For assessment purposes, the sub-categories provide enough details for organizations to identify actionable steps to improve their cybersecurity maturity and the ability to utilize pre-existing cross-references to best practices, standards, and requirements.

Using the results of the NCSR, DHS delivers a bi-yearly anonymous summary report to Congress, providing a broad picture of cybersecurity maturity across the SLTT communities.

When is the NCSR open?

Answer: The NCSR is open on an annual basis. For 2019, the NCSR will be open **October 1, 2019 through December 31, 2019**.

Do I need to be a member of the MS-ISAC to take the NCSR?

Answer: No. All States, State Agencies/Departments, Local Government Jurisdictions, Local Government Agencies/Departments, Tribal Organizations and Territorial Governments are encouraged to participate.

To learn more about the MS-ISAC please visit: <https://www.cisecurity.org/ms-isac>.

How much does it cost to take the NCSR? How long does it take to complete?

Answer: The NCSR is available at no cost to the user and takes approximately two to three hours to complete.

Who from my organization should participate in the NCSR?

Answer: The target audience for the NCSR are personnel within the SLTT community who are responsible for the cybersecurity program within their organization.

- Chief Information Officer (CIO)
- Chief Information Security Officer (CISO)
- Chief Security Officer (CSO)
- Chief Technology Officer (CTO)
- Director of Information Technology (IT)/Information Systems (IS)
- Individuals responsible for Information Technology management

What are the benefits of participating in the NCSR?

Answer: There are many benefits! Many participants have found that participating in the NCSR raises awareness and communication within their organization with both internal and external stakeholders, including executive leadership. By participating in the NCSR, you are creating a cybersecurity baseline which can be used to develop your future security roadmap AND you can compare your scores against the aggregate scores of your peers across the nation.

Upon completion of the NCSR, you will have access to custom individual reports that are specific to your organization. NCSR users can also access cybersecurity policy templates, courtesy of the SANS Institute.

Available Reports:

- **Current NCSR Results:** Provides your organization's current NCSR results across the NIST Cybersecurity Framework Functions and Categories.
- **Year-To-Year Results:** Provides your year-to-year NCSR results across the NIST Cybersecurity Framework Functions and Categories.
- **Year-To-Year Peer Profiles:** Provides your year-to-year NCSR results across the NIST Cybersecurity Framework Functions and Categories in comparison to your peers. Your peer groups are based on your Entity Type and Industry (Example: State Health & Human Services). Please note: Your results will be compared anonymously to other organizations in your peer group.
- **Year-To-Year Compliance Reports:** Provides access to your year-to-year compliance reports. Currently, we have the HIPAA Security Rule Crosswalk mapped to the NIST Cybersecurity Framework.
- **Year-To-Year Questions and Answers:** Provides a listing of all your questionnaires and submitted answers.
- **CIS Controls Mapped to NCSR:** Provides a report that maps version 7.1 of the CIS Controls to the NCSR questions, along with your submitted answers. The report provides the CIS Control, sub-control and implementation group.
- **NCSR Policy Dash:** Displays access to a repository of authoritative sources that provide a general understanding on what guides and governs your organization.
- **2019 Findings:** Provides a report that maps your organization's NCSR questions that were answered below the recommended minimum maturity of "Implementation in Process" to the NIST Cybersecurity Framework informative references (NIST 800-53,

[Initial Notification to Register for NCSR](#)

As stated in the [FY19 Homeland Security Grant Program \(HSGP\) Notice of Funding \(NOFO\)](#), recipients and sub-recipients for the FY19 State Homeland Security Program (SHSP) and Urban Area Security Initiative (UASI) awards are required to complete the [2019 Nationwide Cybersecurity Review \(NCSR\)](#) by the end of calendar year 2019 to benchmark and measure their progress of improving their cybersecurity posture.

The Nationwide Cybersecurity Review (NCSR) is a no cost, anonymous, annual self- assessment that is designed to measure gaps and capabilities of state, local, tribal and territorial (SLTT) governments' cybersecurity programs. The 2019 NCSR will be open from **October 1, 2019 – December 31, 2019**.

Registration and Access


To register for the NCSR, please visit the following website: <https://www.cisecurity.org/ms-isac/services/ncsr/>. Once an organization has registered, the user will receive their credentials from noreply@archer.rsa.com.

To access the NCSR portal, please visit the following link: <https://grc.archer.rsa.com>. The user will then enter their credentials and use the provided Instance Number: **20244**. Please refer to the [NCSR General User Guide](#) for step-by-step instructions for logging in and completing the assessment.

Reporting Completion

When the 2019 NCSR is completed and submitted, the individual user will have the following report information displayed on the NCSR portal's home dashboard:

2019 NCSR Completion Certification

Organization	Questionnaire ID	Year	Progress	Progress Status	Org User	Postal Code
Test_2019	480336	2019	141 of 141 Completed		, test	12345

The individual user will have the ability to export the above information to a PDF. The PDF can be sent to the State Administrative Agency (SAA), to verify they have completed the 2019 NCSR requirement.

Once the 2019 NCSR officially closes, the aggregated data is used in a Summary Report that is designed to measure the gaps and capabilities of SLTT governments' cybersecurity programs.

For additional questions or assistance, email NCSR@cisecurity.org.

Exporting the NCSR Completion Certification

When the 2019 NCSR is completed and submitted, the individual user will have the following report information displayed on the NCSR portal's home dashboard:

2019 NCSR Completion Certification 🔄 ...

Organization	Questionnaire ID	Year	Progress	Progress Status	Org User	Postal Code	State of Origin
Test 2019	480336	2019	141 of 141 Completed	<div style="width: 100%; height: 10px; background-color: #0070C0;"></div>	.test	12345	New York

The individual user will have the ability to export the above information to a PDF. The PDF can be sent to the State Administrative Agency (SAA), to verify they have completed the 2019 NCSR requirement.

To export to a PDF, select the following ellipse icon in the upper right-hand corner of the report view:



The following options will appear:



Select the option of "Display Report". A new page will open, with the following options on the upper right-hand side of the page:



Please note, if you select the option of "EMAIL", the email that is sent can only be viewed by an individual who has access to the NCSR portal. If the individual does not have access, they will not be able to view the confirmation report.

Select the option of “Export”. The following box will appear:

Nationwide Cyber Security Review 2018 & 2019: Export Options

Export Options



The data export features enables you to export records to an external data file. The file format options are described below.



Rich Text File

Generates a file in Rich Text format intended for use in most standard word processors.



Adobe PDF

Generates a PDF file, which can be shared, viewed and printed by any user on any system using Adobe Reader (a free program) or Adobe Acrobat.



Microsoft Excel

Generates a file in Microsoft Excel format.



CSV

Generates a comma-separated text file intended for use in any application that can read text files.



HTML File

Generates an HTML file that users can view in any web browser. Users can also open the file in an HTML editor, a text editor or any other application that can read text files.



XML File

Generates an XML file that can be opened in Internet Explorer or any other application that can read a text file.

Select the option for “Adobe PDF”. The following box will appear:

Export Complete



Export Complete!

Your data was successfully exported.
To access this file, [click here](#).

Select the text of “click here”. That will generate the PDF with the report information. The PDF can be sent to the State Administrative Agency (SAA), to verify 2019 NCSR completion.