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Request for Proposals
Statewide Fiduciary Agent
State Homeland Security Program

2nd Revision - August 28, 2019

Through this Request for Proposals (RFP), the Executive Office of Public Safety and Security's (EOPSS), Office of Grants and Research (OGR) is seeking a Statewide Fiduciary Agent to perform fiscal oversight and fiscal administrative type services under the advisement of OGR for the Commonwealth's Regional Homeland Security Advisory Council's grant funded activities as awarded by the EOPSS, OGR. It is anticipated that \$5,035,000 of FFY 2019 State Homeland Security Program (SHSP) federal funding will be awarded to four (4) homeland security planning regions and related advisory councils.

I. Background and Key RFP Points

HSGP/SHSP Funding

The U.S. Department of Homeland Security, Federal Emergency Management Agency's (DHS/FEMA) SHSP funding supports efforts at the state, regional, and local levels to build core capabilities across five mission areas - prevention, protection, mitigation, response, recovery - to achieve the National Preparedness Goal (the Goal). The Goal is available at www.fema.gov/media-library/assets/documents/25959.

In Massachusetts, SHSP funding helps to achieve the goals and objectives in the latest Commonwealth of Massachusetts' State Homeland Security Strategy (SHSS) that is based on the Goal. This funding also contributes to meeting the capability targets of the latest Massachusetts Threat and Hazard Identification and Risk Analysis (THIRA), to addressing capability gaps described in the Commonwealth's current State Preparedness Report (SPR), and implementing Massachusetts FFY 2019 Homeland Security Grant Program (HSGP) state priorities.

The current SHSS is available at www.mass.gov/eopss/home-sec-emerg-resp/shss/massachusetts-state-homeland-security-strategy.pdf. The latest THIRA/SPR and the FFY 2019 HSGP state priorities must be requested from OGR at stateshare.pc@mass.gov

Activities implemented under SHSP must support anti-terrorism preparedness. However, many activities which support anti-terrorism preparedness simultaneously assist with handling other catastrophic events.

OGR is the State Administrative Agency (SAA) for HSGP funding received from DHS, of which SHSP funding is a subsection. HSGP funding has historically been awarded to Massachusetts on an annual basis. Per DHS, the SAA must obligate a minimum of 80 percent of the funds awarded under SHSP to local units of government. Additional

information regarding DHS/FEMA's Homeland Security Grant Program may be found at the following link:
<https://www.fema.gov/homeland-security-grant-program>

Background

In 2004 EOPSS worked with municipal stakeholders to form four Homeland Security Planning Regions and related Advisory Councils (hereinafter the 'regions' or the 'councils') for the Commonwealth. The councils were created so that designated SHSP Local Share funding could be disseminated with first responder guidance to the associated regions. These four councils are:

- Western Regional Homeland Security Advisory Council
- Central Region Homeland Security Advisory Council
- Northeast Homeland Security Regional Advisory Council
- Southeast Regional Homeland Security Advisory Council

Since 2004, OGR has supported these four regions and their councils by providing SHSP Local Share funding base allocation award amounts determined by a Massachusetts State Police (MSP) risk analysis formula. Regions have received this SHSP Local Share funding after their councils developed regional plans and approved by OGR and FEMA.

FFY 2019 SHSP Funding Cycle

REVISED - OGR anticipates receiving **\$5,447,566.00** of FFY 2019 SHSP Local Share funding from DHS/FEMA by October 2019.

For regions to receive their base allocations awards in the FFY 2019 SHSP Local Share funding cycle, councils developed, as before, regional plans that were due to OGR by April 26, 2019. The anticipated FFY 2019 SHSP Local Share revised allocation awards, which include additional planning funds, for the regions are as follows:

Regions	Original Allocation	1st Revised Allocation	2nd Final Allocation
Northeast	\$1,443,360.00	\$1,513,510.30	\$1,556,178.94
Southeast	\$1,208,640.00	\$1,267,382.43	\$1,303,112.26
Central	\$978,240.00	\$1,025,784.50	\$1,054,703.26
Western	\$1,169,760.00	\$1,226,612.77	\$1,261,193.24

These base allocation awards will be provided through a state contract to the selected fiduciary agent by October 2019 (contingent upon OGR receiving the federal funds by that time).

SHSP Local Share Fiduciary Agent Contract

Through this RFP, OGR seeks to identify a Statewide Fiduciary Agent to perform the fiscal related Management and Administrative (M&A) duties as assigned by OGR as well as assist with the Regional Homeland Security Council activities associated with the anticipated **\$5,175,187.70** of FFY 2019 SHSP Local Share funding that will be provided to the four SHSP-funded regions and related councils.

The Statewide Fiduciary Agent will act as fiscal 'pass-thru' for the above anticipated awards in SHSP Local Share funding provided to the regions and their advisory councils. For these fiscal services, the selected Statewide Fiduciary Agent will receive FFY2019 SHSP funding not to exceed **\$272,378.30** which is 5% to the total Local Share Regional allocation for M&A.

Total Local Share amount for FFY2019 is **\$5,447,566.00**. After removing 5% M&A, **\$272,378.30**, regional pass through totals will be **\$5,175,187.70** which is broken out between the regions as listed in the table above.

Currently OGR has a contract with a Statewide Fiduciary Agent to perform the M&A and planning duties associated with the FFY2016 FFY2017 and FFY2018 SHSP Local Share funding for the all four regions and their councils.

Eligible applicants for this RFP include entities that are considered “local units of government” that have, or can develop and sustain, the capacity to perform the associated management, administration, and planning duties associated with SHSP funding on a regional basis. For purposes of this RFP, “local unit of government” is defined per DHS as “any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, independent authority, special district, or other political subdivision of the Commonwealth of Massachusetts.”

Once a FFY 2019 contract have been awarded to a Statewide Fiduciary Agent through this RFP, OGR reserves the right, at its sole discretion, to extend this contract and add additional funding through the Federal Fiscal Year 2021 SHSP funding period if sufficient federal funds are available and if the selected fiduciary agent is:

- Current on all progress and financial reports;
- Current on all reimbursement requests;
- Showing satisfactory progress in contract performance metrics; and
- Current with all other contract deliverables.

Based on a request received from the statewide fiduciary agent, and assuming the above conditions are being met, OGR may provide a contract extension up to July 31, 2023. In addition to Homeland Security Grant Funds, OGR may request the selected fiduciary agent to assist with other grants received through the Office of Grants and Research. Any additional services will be negotiated in addition to the above SHSP Local Share Statewide Fiduciary services.

SHSP funding is distributed on a reimbursement basis only. The selected fiduciary agent must have the financial resources to incur select grant-related costs for 30 to 60-day intervals prior to being reimbursed by OGR. The selected fiduciary agent may submit bi-monthly reimbursements requests to OGR. Once reimbursed by OGR, the fiduciary agent must issue reimbursement to its sub-contractors and vendors within 2 business days.

No contract award resulting from this RFP is official until the day that both the sub-recipient and OGR have signed and dated the Commonwealth of Massachusetts - Standard Contract Form.

Key RFP Timeline

Date	Task
August 7, 2019	RFP released / posted
August 14, 2019	RFP Conference Call
September 13, 2019	Responses due, NLT 5:00pm
September 13, 2019	Anticipated FFY2019 Award notification
October 1, 2019 – August 31, 2021	Anticipated contract performance period

DUNS Number Required

All applicants must include a DUNS number (Data Universal Numbering System) in their applications. Pending DUNS numbers will not be accepted. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and sub-recipients. If applicable, consult your city/town’s accounting department to obtain your DUNS number.

System for Award Management (SAM)

The federal government requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the System for Award Management (SAM) database. The SAM database is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. Organizations that have previously submitted applications through www.grants.gov or had an active Central

Contractor Registrations (CCR) account are already registered with SAM, as it is a requirement for www.grants.gov registration.

Information on obtaining a DUNS number and registering in SAM is available from grants.gov at www.grants.gov/web/grants/register.html.

FFATA

The contractor selected under this RFP must comply with the Federal Funding Accountability and Transparency Act (FFATA). More information on this requirement will be provided by OGR during the contracting phase.

Federal and State Grant Conditions and Forms

The contractor selected under this RFP will be required to complete OGR's Subgrant/Contract Terms and Conditions forms during the contracting phase. A new or updated Commonwealth Terms and Conditions Form may also be required. These documents are available at www.mass.gov/eopss/funding-and-training/homeland-sec/grants/standard-documents.html.

All RFP response packet must include the following forms:

- Commonwealth's Contractor Authorized Signatory Form (CASL)
- OGR Sub-grantee Risk Assessment Form
- A-133 Summary form
- SAM Registry verification

Indirect Costs

These are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of sub-recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), a sub-recipient identified through this RFP must have an approved indirect cost rate agreement with their cognizant federal agency to charge such costs to their award. A copy of the approved indirect cost rate agreement (and that for any sub-contractors) negotiated with the applicant's cognizant federal agency is required as part of the application packet at the time of application. Or the applicant must include with their application packet a letter confirming their intent to secure an approved agreement before charging such costs against an award.

II. Fiduciary Agent Responsibilities

The following are the key responsibilities of the statewide fiduciary agent selected through this RFP:

- Statewide Fiduciary Agent will conduct procurement and ensure procurement is conducted in accordance with state and federal requirements on behalf of the Sub-Fiduciary Agents and the regions and their advisory councils they represent
- Statewide Fiduciary Agent will act as fiscal 'pass-through' for the anticipated awards in SHSP Local Share funding provided to the regions and their advisory councils.
- **Statewide Fiduciary Agent will not act in an advisory role to the Regional Councils but rather provide guidance to the sub-fiduciary agents regarding procurement requirements as outlined in federal regulations, state law and OGR policies.**
 - Pass-through amounts have been determined by OGR and are located within this RFP, under the "SHSP Local Share Fiduciary Agent Contract" portion
- Statewide Fiduciary Agent will be responsible for the following:
 - Submitting timely and accurate Bi-Annual Project Progress Reports to OGR.
 - Sub-fiduciary agents will be responsible for the project portion of the report
 - Statewide fiduciary agent will be responsible for the financial portion of the report
 - Participate in OGR/EOPSS sponsored surveys and required reporting (e.g., THIRA/SPR) related to the SHSP funding.

- Maintain regional equipment inventory and submit annual equipment inventory reports to OGR
 - The OGR reserves the right to deny payment pending receipt of reporting documentation.
 - Submitting quarterly performance metrics information that will allow OGR to monitor its performance related to procurement and vendor payment processing.
 - Receive prior written approval from OGR prior to project revisions and/or reallocating project funds.
 - Statewide Fiduciary Agent agrees to comply with the following:
 - The administrative, financial, and programmatic requirements set forth by the funding source and outlined in the OGR Contract Conditions and Federal Articles of Agreement.
 - Audit requirements of [2 CFR 200, Subpart F](#) to do during each of its fiscal years an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of [Government and Accountability Office's \(GAO\) Government Auditing Standards](#).
 - Monitoring efforts, such as site visits and desk reviews conducted by OGR, state and/or federal audits and equipment checks
 - OGR Homeland Security Division policies, procedures and processes
 - Award will be used to supplement but not supplant federal, state and/or local funds
 - Award will not be commingled with other funds
 - Statewide Fiduciary Agent must have the following in place:
 - An accurate accounting system capable of providing cost accounting and formulating quarterly reports. The fiduciary agent must also be able to provide backup documentation from its financial systems to coincide with each quarterly report.
 - A uniform procurement policy that adheres to the Massachusetts General laws, *Chapter 30b, Uniform Procurement Act* and facilitate the procurement of goods and services in compliance with all applicable state and federal requirements. All its sub-recipients and sub-contractors will be required to abide by the agent's uniform procurement policy.
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Statewide Fiduciary Agent is responsible for entering into contracts with each of the four Homeland Security Regional Sub-Fiduciary agents, as identified in the regional plans, and ensuring they are complying with the following:

- Regional Sub-Fiduciary Agents will be responsible for the following:
 - Taking minutes of the councils and committees meetings and have an initial draft for OGR review no later than two weeks after the initial meeting. Final draft meeting minutes shall be provided to the councils or committees and to OGR no later than 30 days after the meeting.
 - Preparing and posting agendas and other necessary Open Meeting Law-related documents for council and committee meetings.
 - Carrying out the notification process for scheduled councils and committees meetings.
 - Actively seeking out joint project opportunities for the councils.
 - Maintain websites for the councils with standardized content. These websites will also be used to share information on council "best practice" activities as well as dates, time and location of grant funded trainings and exercises.
 - Actively participate in OGR's website workgroup to establish website standardized contents.
 - Ensure that the funding source is recognized at sponsored events, trainings and on any materials produced or disseminated as a result of these grant funds and state ***"This project is being funded with Department of Homeland Security, Federal Emergency Management Agency (DHS/FEMA), Federal Fiscal Year XXXX, State Homeland Security Program (SHSP) awarded by the MA Executive Office of Public Safety and Security's Office of Grants and Research"***.
 - Coordinate with assigned OGR Homeland Security Coordinator to ensure trainings and exercises supported by the councils are planned, conducted, and evaluated in accordance with DHS/FEMA and OGR requirements, including procurement requirements.
 - Ensuring that regional equipment purchased with HSGP funds have been received, verified in working conditions and properly tagged ***"Purchased with Department of Homeland Security, Federal Emergency Management Agency (DHS/FEMA), Federal Fiscal Year XXXX, State Homeland Security Program (SHSP) funds"***

- Providing equipment inventory updated / revision to the State Fiduciary Agent who is responsible for maintaining inventory as required by federal regulations and in accordance with OGR's contract terms and conditions
- Assist OGR with the coordination of an annual outreach meeting within the regions to greater engage local and regional stakeholders in activities.
- During the contract period, OGR reserves the right to substitute other outreach activities of similar scope that better meet the needs of the councils (i.e., stakeholder surveys to measure the utility of homeland security projects).
- Conducting an annual council and committee stakeholder satisfaction survey and submit results to OGR.
- Participate in monthly meetings with OGR Homeland Security Division Program Staff regarding council's issues.
- Preparing and submitted Bi-Annual Project Progress Reports
 - Sub-fiduciary agent will complete the project portion of the report and forward to statewide fiduciary agent
 - Statewide fiduciary agent will complete the financial portion of the report and forward to OGR
- Regional Sub-Fiduciary Agent will be responsible for assisting the councils, as necessary, with the timely preparation and submittal of the following:
 - Annual Regional Plan/Prioritized Project Lists
 - Project Justifications (PJs), Training Request Reviews (TRRs), Exercise Request Reviews (ERRs), Environmental Planning and Historic Preservation (EHP) Screening Forms and Interoperable Communications Investment Proposals (ICIPs) for OGR review and approval
 - Project revisions and budget adjustments for OGR review and approval
 - Maintain a clear understanding of federal regulations and state laws pertaining to procurement and other topics directly link to the responsibilities listed within this RFP
 - All other forms and processes as required by OGR, State and/or Federal regulations, guidance and policies.

III. RFP Response Procedures and Selection Process

RFP Response Procedures

Response packets must be emailed no later than 5:00pm on [September 13, 2019](#)

All respondents must submit as part of a response packet:

- One signed letter of support. The letter of support should be from a municipal agency head.
- Commonwealth Contractor Authorized Signatory Form (CASL)
- OGR Risk Assessment Form
- A-133 Summary Form,
- SAM Registry verification

No submission extension will be granted and faxed responses will not be accepted.

Selection Process

Each response packet will be subject to a review process from reviewers with knowledge and experience in homeland security and grants management. Each response packet will be assessed by the review team, leading to a numerical rating for its key sections (see Sections 2 to 4 below) that will be added up to reach a total score for the response packet. The response packets with the highest score will be recommended by the team to the Executive Director of OGR and Secretary of EOPSS for review and final approval.

IV. Response Instructions

All responses packets must address in adequate detail the following four sections and include completed versions of the two separately provided Microsoft Excel budget templates (these documents are available on the EOPSS website with the RFP).

1. Cover Letter (maximum one page)

This provides the following applicant information: organization name and address, organization's senior manager name and title, telephone number, e-mail address, and DUNS Number of organization. Please also confirm in cover page current SAM Registration. This letter must be from an authorized signatory and include his/her hand-written signature in blue ink.

2. Applicant History (maximum of two pages) and Letter of Support Up to twenty (20) points may be awarded via a review team process

This section must include a brief history of the applicant's organization, including the types of services offered, types of grants received and managed, years of fiduciary experience, and relationship, if any, with the councils and/or OGR. If an applicant has an existing relationship with the councils and/or OGR, specific examples must be provided. The review team will consider any previous contract performance history with OGR of an applicant when assigning points in this section as well as the letter of support.

3. Program Description (maximum of five pages) Up to fifty (50) points may be awarded via a review team process

This section must provide a detailed narrative plan on how an applicant intends to conduct the necessary M&A activities for all the councils as described above in the Fiduciary Agent Responsibilities section. Included in this plan shall be:

- A comprehensive process to carry-out its commitments to OGR as detailed in the Fiduciary Agents Responsibilities section.
- Briefly propose how it will develop and provide OGR with quarterly performance metrics information on procurement and vendor payment processing.
- A description of how it will be able to provide sufficient personnel to administer its plan. Please provide within this section of the response a staffing matrix that demonstrates this. The matrix format is at the applicant's discretion. This matrix must align with the information provided in the Budget Narrative section.

4. Budget Narrative (maximum of two pages) and Budget Detail Attachment Up to thirty (30) points may be awarded via a review team process

The budget narrative must explain the utilization of the M&A funds. Detailed budget information must be conveyed in the response utilizing OGR's Template for M&A Costs available separately on the OGR website with the RFP.

If the respondent proposes to charge a federally-approved indirect cost rate and/or fringe benefits rate under the contract, these rates must be noted in the budget response and the indirect cost rate supported with the inclusion of the most recent federally approved indirect cost rate agreement or a letter from the applicant they obtain an agreement before charging such costs against an award.

RFP Q&A and Assistance

If there is interest, OGR will conduct a conference call regarding this RFP on August 14, 2019. Participation in this call is optional. Please confirm your interest by e-mail to lorri.gifford@mass.gov by noon on August 9, 2019.

Bidders are strongly encouraged to regularly monitor the OGR web page with the RFP information as OGR may post updates to this RFP: <https://www.mass.gov/orgs/office-of-grants-and-research>

Checklist for RFP Response:

- Email a response packets to lorri.gifford@mass.gov that addresses the four required sections as well as completed Attachments A, letter of support, OGR Risk Assessment form, A-133 Summary form, and the Commonwealth Contractor Authorized Signatory Form. Be sure to insert applicant name and/or logo at top of Attachments A.

- Include DUNS numbers and printed verification of current SAMs registry (must include name, address, DUNS # and date SAMs registry expires).

- If applicable, reference federal indirect rate and/or fringe rate in budget section and provide supporting documentation at the back of the response packet.