

COOPERATIVE AGREEMENT MODIFICATION

Agreement/Appendix Title and Number: W912PQ-16-2-1004

Project Name/Description and Location: ARNG Electronic Security (ESS) Management, Installation, Operation and Maintenance (MIO&M)

Modification Number: P0001

ISSUED BY:

NATIONAL GUARD BUREAU

ISSUED TO:

THE STATE OF NEW YORK

This modification is issued pursuant to the Authorities, 31 U.S.C. Chapter 63; MCA and Appendices Article VII, Sect 703; MCCA Article XII, Sect 1201 of the basic cooperative agreements. Mark purpose and obtain signatures as appropriate IAW NGR 5-1, Chapter 3.

- a. FUNDING
- b. TERMS AND CONDITIONS
- c. TERMINATION
- d. OTHER ADMINISTRATIVE OPEN FY 16 APP 1004

| Action | Funding Source | From | Change | To |
|--------|----------------|------|---------------|---------------|
| FED | Allotment | | \$ - | |
| FED | AFP | | \$ 496,200.00 | \$ 496,200.00 |
| FED | IKA | | \$ - | |

DESCRIPTION OF MODIFICATION:

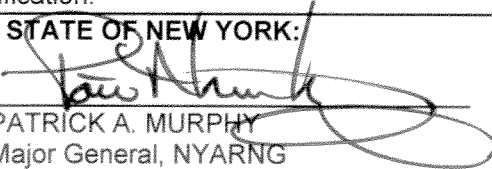
1. JUSTIFICATION: OPEN Appendix 1004, ARNG Electronic Security (ESS) Management, Installation, Operation and Maintenance (MIO&M) for Fiscal Year 2016.
2. SUMMARY: Appendix, W912PQ-15-2-1004 is hereby extended for Fiscal Year 2016. The effective date is 01October 2015 and the termination date is 30September 2016. Appendix W912PQ-15-2-1004 is changed to read W912PQ-16-2-1004 for FY2016.
3. ACTION: TAG signature and review of the ARNG MIO&M Appendix 1004 MOD 1. Return signed modification to MNPF-EA, Room 207, Cooperative Agreements, x4775/4709.
4. This Appendix is subject to the availability of funds.
5. Replace page 8 of Appendix 1004, FY 16 with updated attachment.
6. As FY2016 budgets are approved by NGB, program managers will add funding to the Appendix by separate modification.

EXECUTION

Except as provided herein, all terms and conditions of the Cooperative Agreement and/or Appendix remain unchanged in full force and effect.

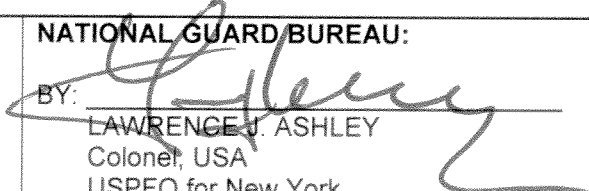
IN WITNESS WHEREOF, the parties by their authorized representatives execute this Cooperative Agreement Modification.

THE STATE OF NEW YORK:

BY: 
PATRICK A. MURPHY
Major General, NYARNG
The Adjutant General

Date: 9 Nov 15

NATIONAL GUARD BUREAU:

BY: 
LAWRENCE J. ASHLEY
Colonel, USA
USPFO for New York

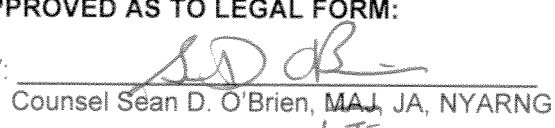
Date: 10 Nov 15

APPROVED AS TO LEGAL FORM:

BY: 
Counsel Robert G. Conway, Jr., MNLA

Date: 21 OCT 2015

APPROVED AS TO LEGAL FORM:

BY: 
Counsel Sean D. O'Brien, MAJ, JA, NYARNG
LTC

Date: 21 October 2015

APPENDIX 4
ARNG ELECTRONIC SECURITY SYSTEM (ESS)
MANAGEMENT, INSTALLATION, OPERATION & MAINTENANCE (MIO&M)

Section 401. General.

a. This Appendix to the Master Cooperative Agreement (MCA) prescribes the terms, conditions and administrative procedures related to the National Guard Bureau's (NGB's) federal contribution for the Army National Guard (ARNG), Army Installations Division (ILI), and Facility Management Branch (-F) (ARNG-ILI-F ESS) Electronic Security Systems Program Cooperative Agreement Program within the 54 States, Territories, Commonwealths, and District of Columbia (referred as 'State' here forth). This Appendix is also referred to as the ESS Cooperative Agreement (ESSCA).

b. Statement of Facts.

(1) The authorities and provisions set forth in NGR 5-1 and the terms and conditions contained in the Master Cooperative Agreement (MCA) and included Attachment A to which this is an appendix are incorporated into this Appendix by reference.

(2) ARNG-ILI-F is authorized to contribute 100 percent of federal funds to the State for specific expenses incurred in rendering management, installation, operation and maintenance (MIO&M) services of approved and authorized ARNG-ILI ESS equipment used exclusively for the support of **federal system requirements** approved by the ARNG-ILI ESS Program Manager.

(3) QPSM ESS funds are to be used for the support of AR190-11 AA&E IDS maintenance and monitoring requirements. Non-AA&E **federal system requirements** can be considered for support with QPSM funds after ARNG-ILI ESS Program Manager advanced written approval. All State-requested and other electronic security system requirements will require **other federal** funding to plan, scope, design, procure, install, and sustain.

(4) ARNG-ILI-F ESS shall provide 100 percent federal support within funding limitations for authorized ESS MIO&M. The support of ESS MIO&M is authorized for facilities described as joint use with the federal government, coded for federal support with an Installation Number, Facility Number, and Facility Type, and approved for standardized ESS equipment by the ARNG-ILI-F ESS Program Manager (PM).

(5) ESS MIO&M provides federal support for Commercial Intrusion Detection Systems (CIDS), Closed Circuit Television (CCTV), Electronic Entry and Access Control Equipment including intercoms, and other ESS Systems as defined and approved by the ARNG-ILI-F ESS PM on authorized facilities.

(6) ESS MIO&M rendered beyond the scope of services authorized in this Appendix will not be reimbursed through this agreement.

(7) The services performed by personnel at the State level in support of this Appendix, are to be accomplished using criteria, standards, processes, and procedures promulgated by the ARNG-ILI ESS Program Manager (a federal government employee). No services or work efforts being performed at the State level are inherently Governmental in nature. In terms of contracted ESS technicians, as long as their performance of work has specific deliverables, defined using the position skill set language in Section 405 of this Appendix 1004, and has government civilian or military oversight, then contracted ESS technician work is not inherently governmental in nature.

Section 402. Additional Definitions.

a. UL 827: Central Station Alarm Services is the UL standard that covers central monitoring facilities. Under UL 827, two categories exist. Each category is identified by its UL Category Control Number (CCN). The categories cover:

(1) Protective Signal Services - Central Station (UUFX) and

(2) Burglar Alarm Systems - Central Station (CPVX) to monitor assets one or any of the following cases of Central Monitoring of High Security Assets:

a) The asset(s) is (are) under the authority of the National Industrial Security Program

b) The protection of Arms, Ammunition and Explosives (AA&E) assets. The alarm dealer and central monitoring station need to be UL 827-compliant in order to perform these specialized government intrusion detection services per AR190-11.

b. UL 2050: UL 2050 is a standard that describes monitoring; signal processing, investigation, servicing and operation of alarm systems for which a national industrial security system certificate has been issued by Underwriters Laboratories (UL). This is the standard the security industry must follow to service U.S. federal government facilities. The alarm dealer and central monitoring station need to be UL 2050-compliant in order to perform these specialized government intrusion detection services. This UL standard is used for the protection of SCIFs and SIPRNet assets.

(1) These requirements are to be planned, programmed, budgeted, and executed for Sensitive Compartmented Information Facility (SCIFs) and Secret Internet Protocol Router Network (SIPRNet) requirements.

(2) Electronic Security Systems (QPSM) (AR190 series) funds are not authorized or approved for the use of maintenance and monitoring of SCIF or SIPR requirements. These requirements consist of: Intrusion Detection Systems, Access Control Systems, Closed-Circuit Television, and alarm monitoring at a central monitoring station, and lifecycle maintenance and monitoring out-year expenses.

Section 403. Office of Primary Responsibility.

a. The Office of Primary Responsibility for this Appendix is the Army National Guard Installations Division, Electronic Security Services (ARNG-ILI-F ESS).

b. The Chief, ARNG-ILI, for the purposes of the Appendix, is the designee of the Chief, National Guard Bureau, and is the individual authorized to make modifications and final approval of all ESS MIO&M budgets, the language of this Appendix, to authorize distribution and recall of ESS MIO&M funds sent to the State USPFO, to receive specified accounting reconciliation reports, and to take any other action on behalf of NGB or the Chief, NGB, as specifically reserved under this Appendix for ARNG-ILI-F ESS.

Section 404. Scope of Agreement.

a. Scope of Services.

(1) The Grantee shall provide ESS MIO&M support as outlined/specified in Section 404, para b. ESS maintenance and monitoring services, in support of Army Regulations (AR) 190-11, 190-13, 190-51, for facilities listed on the current Facilities Inventory and Stationing Plan (FISP). Those facilities include Readiness Centers, AASF, JFHQ, AFRC, CSMS, MATES, UTES, ASP, FMS, OMS, USPFO Warehouses, CHP, CST and other facilities as approved by the ARNG-ILI-F ESS PM for the exclusive support of **federal system requirements**.

(2) The Grantee may contract for said services, provided the required and appropriate paragraphs and clauses are included as prescribed in Articles VIII and IX of the MCA and that the performance specifications listed

below are met. ESS MIO&M Activities shall include, but not limited to actions by the Grantee, through employment by the Grantee, of sufficient personnel, acquisition of supplies or services.

(3) Provide ESS MIO&M for designated facilities (with identified mission essential vulnerable areas (MEVA's) and current risk assessments as per AR 190-51/ DA PAM 190-11) and equipment according to Army Regulations (AR) 190-11, -13, -51, and ARNG-ILI-F ESS criteria, standards, and metrics.

(4) Provide monitoring of ESS equipment at a monitoring facility that is in compliance with UL 827 and UL 2050 as prescribed by the Unified Facilities Guide Specification, Division 28, Section 28 16 00.00 20, dated April 2006, and initiate action necessary to obtain appropriate response timing.

b. Performance Specifications.

(1) The Grantee shall furnish services to include the management, installation, operation and maintenance of Electronic Security Systems equipment at designated facilities identified above (Section 404-a).

(2) The Grantee ESS maintenance personnel shall respond within twenty-four (24) hours of notification of system failure as required by AR190-11.

(3) The Grantee shall perform preventive maintenance checks and services on each system no less than semi-annually (every 6-months) as required by AR190-11 for arms, ammunition, and explosives (AA&E) storage areas and as per manufacturer's recommendation for all other supported ESS equipment in use.

(4) The Grantee shall perform semi-annual inspections, of all aspects of Electronic Security Systems installation, operation and maintenance, as recommend by the ARNG-ILI-F ESS Program Manager. Involved organizations/activities include various governmental agencies (federal, state and local); security equipment manufacturers and suppliers, alarm companies, monitoring agencies, and telephone companies.

(5) ARNG-ILI ESS Program Equipment Metrics (Page 1)

| ARNG-ILI ESS PROGRAM EQUIPMENT METRICS 5/4/2015 | | | | | | |
|--|----------------|------------|-----------|-------------|------|-----------------|
| | | RC-SINGLE* | RC-MULTI* | AASF/AVCRAD | JFHQ | MAINT FAC LARGE |
| CID-S-AA&E PRIMARY | SCP | 1 | 1 | 1 | 1 | 1 |
| | BMS | 5 | 5 | 5 | 5 | 5 |
| | VOLUMETRIC | 3 | 3 | 3 | 3 | 3 |
| | PERIMETER | 2 | 2 | 2 | 2 | 2 |
| | CELL BACKUP | 1 | 1 | 1 | 1 | 1 |
| CID-S-AA&E SECONDARY | SCP | 0 | 0 | 0 | 0 | 0 |
| | BMS | 0 | 5 | 5 | 5 | 5 |
| | VOLUMETRIC | 0 | 3 | 3 | 3 | 3 |
| | PERIMETER | 0 | 2 | 2 | 2 | 2 |
| | CELL BACKUP | 0 | 0 | 0 | 0 | 0 |
| CID-S-OTHER PRIMARY | SCP | 1 | 1 | 1 | 0 | 1 |
| | BMS | 2 | 2 | 4 | 0 | 6 |
| | VOLUMETRIC | 2 | 2 | 4 | 0 | 6 |
| | CELL BACKUP | 0 | 0 | 0 | 0 | 0 |
| CID-S-OTHER SECONDARY | SCP | 0 | 0 | 0 | 0 | 0 |
| | BMS | 2 | 2 | 2 | 2 | 2 |
| | VOLUMETRIC | 2 | 2 | 1 | 1 | 1 |
| | CELL BACKUP | 0 | 0 | 0 | 0 | 0 |
| ACCESS CONTROL | DOORS (ACP) | 0 | 0 | 2 | 2 | 1 |
| | CARD READERS | 0 | 0 | 6 | 8 | 6 |
| SITE/COM | MASTER | 1 | 1 | 2 | 2 | 2 |
| | REMOTE | 1 | 1 | 2 | 2 | 2 |
| CCTV | CAMERAS | 0 | 0 | 16 | 12 | 12 |
| | MONITORS | 0 | 0 | 2 | 2 | 2 |
| | IVR/DVR | 0 | 0 | 1 | 1 | 1 |
| ALARM/SCC | SEC CNTRL CNTR | 0 | 0 | 1 | 1 | 1 |

* AA&E will utilize a 4:1 vault to control panel ration
 ** ASP's - Two panels will be provided at multi storage areas

(6) ARNG-ILI ESS Program Equipment Metrics (Page 2)

| ARNG-ILI ESS PROGRAM EQUIPMENT METRICS | | MAINT FAC SMALL | CST | RTI | ASP** | USPFO |
|--|----------------|-----------------|-----|-----|-------|-------|
| 5/4/2015 | | | | | | |
| CIDS-AA&E PRIMARY | SCP | 1 | 1 | 1 | 1 | 1 |
| | BMS | 5 | 5 | 5 | 8 | 5 |
| | VOLUMETRIC | 3 | 3 | 3 | 4 | 3 |
| | PERIMETER | 2 | 2 | 2 | 4 | 2 |
| | CELL BACKUP | 1 | 1 | 1 | 1 | 1 |
| CIDS-AA&E SECONDARY | SCP | 0 | 0 | 0 | 1 | 0 |
| | BMS | 5 | 5 | 5 | 2 | 5 |
| | VOLUMETRIC | 3 | 3 | 3 | 1 | 3 |
| | PERIMETER | 2 | 2 | 2 | 1 | 2 |
| | CELL BACKUP | 0 | 0 | 0 | 1 | 0 |
| CIDS-OTHER PRIMARY | SCP | 1 | 1 | 1 | 0 | 1 |
| | BMS | 6 | 4 | 4 | 2 | 6 |
| | VOLUMETRIC | 6 | 6 | 6 | 1 | 3 |
| | PERIMETER | 0 | 0 | 0 | 0 | 0 |
| | CELL BACKUP | 0 | 0 | 0 | 0 | 0 |
| CIDS-OTHER SECONDARY | SCP | 0 | 0 | 0 | 0 | 0 |
| | BMS | 2 | 2 | 2 | 0 | 2 |
| | VOLUMETRIC | 1 | 1 | 1 | 0 | 1 |
| | PERIMETER | 0 | 0 | 0 | 0 | 0 |
| | CELL BACKUP | 0 | 0 | 0 | 0 | 0 |
| ACCESS CONTROL | DOORS (ACP) | 0 | 1 | 1 | 0 | 1 |
| | CARD READERS | 0 | 6 | 6 | 0 | 6 |
| INTERCOM | MASTER | 2 | 1 | 2 | 0 | 3 |
| | REMOTE | 2 | 1 | 2 | 0 | 3 |
| CCTV | CAMERAS | 0 | 6 | 6 | 6 | 6 |
| | MONITORS | 0 | 2 | 2 | 2 | 2 |
| | NVR/DVR | 0 | 1 | 1 | 1 | 1 |
| ALARM/SCC | SEC CNTRL CNTR | 0 | 0 | 0 | 0 | 0 |

* RC AA&E will utilize a 4:1 vault to control panelation
 ** ASP's - Two panels will be provided at multi storage areas.

Section 405. Authorized Activities/Charges.

a. Personnel.

(1) State Employees, Federal-contract Labor personnel (upon a ARNG-approved request for In-Kind Assistance (IKA)), or State-contract Labor personnel.

a) The ARNG-ILI ESS Program Manager is to be contacted regarding all outsource contracts solicitations to insure contracted labor is compliant to meet ARNG-ILI ESS standards, criteria, metrics, processes, and procedures and AR190-11, AR190-13, and AR190-51.

b) Outsourcing ESS labor is permitted as long as the Statement of Work and/or Performance Work Statement meets ARNG-ILI ESS Program standards, criteria, metrics, processes, and procedures

c) Federal Technicians are not authorized to be compensated from QPSM ESS (131G39.1F or 131G39.30) funds. Federal Technicians are compensated from federal technician labor funds account.

d) ESS Technical Personnel – 131G39.1F – (State Employee or Contracted Labor) - The Electronic Security Systems personnel, that perform all duties as assigned to the installation, operation, and maintenance of ESS equipment throughout said State. The job duties and performance requirements stated herein are not inherently governmental functions or performance requirements. All duties and performance requirements are performed in accordance with ARNG-ILI ESS Program Office guidelines, processes, procedures, standards, criteria and other documented requirements. For applicable labor rates, the ARNG-ILI Program Office uses the Bureau of Labor Statistics - Technician Position Description Code: 49-2098. <http://www.bls.gov/oes/current/oessrcst.htm>

e) ESS Supervisor-Lead Technical Person – 131G39.30 – (State Employee or Contracted Labor) - The Lead Electronic Security Systems technician(s) responsible have input to and/or are accountable for the W912PQ-16-2-1004

planning, programming, budget preparation/validation, execution, installation, operation, maintenance, and monitoring of the entire said State ESS Program. These job duties and performance requirements are not inherently governmental. All duties to be performed adhere to ARNG-ILI ESS Program Office published standards, criteria, designs, standardization, training, and documentation requirements. For applicable labor rates, the ARNG-ILI Program Office uses the Bureau of Labor Statistics - Technician Position Description Code: 49-1011. <http://www.bls.gov/oes/current/oessrcst.htm>

(2) Position Skills (recommended and not limited to) are:

a) Technical Abilities (not limited to):

- 1) High proficiency using latest version of Microsoft (MS) Office Suite: MS Word, MS Excel, MS PowerPoint, and MS Outlook.
- 2) Understanding of basic electronics
- 3) Understanding of basic Cellular Technology principles
- 4) Troubleshoot systems using equipment/device wiring and block diagrams.
- 5) Identify basic system and electronic components
- 6) Understand system equipment installation, operation, and maintenance
- 7) Use of common and manufacturer specific hand tools
- 8) Use of hammer drills, drivers, and mechanical lifts
- 9) Use of soldering iron to perform basic soldering, tinning, and splicing of wires and terminals
- 10) Proper mechanical/crimp termination of wiring terminals and connectors
- 11) Digital multi-meters to identify voltage, resistance, and continuity within a circuit
- 12) Troubleshoot systems/wiring using digital multi-meters
- 13) Proper selection, routing, and bending of conduit
- 14) Proper selection and mounting of infrastructure equipment (conduit, boxes, fittings, etc)
- 15) Understanding of, and able to direct, high voltage (120VAC) requirements for supplying power to ESS equipment components
- 16) Use of telecom testing equipment

b) Management Abilities (not limited to):

- 1) 3-year minimum experience level or equivalent in Electronic Security Systems
- 2) Positive dialogue with Engineering (CFMO) Directorate (G4), Physical Security (G3/5/7) Directorates, Information Management (G6) Directorate, and Resourcing (G8) Directorate.
- 3) Communicate with other State ESS Program entities to identify emerging requirements, troubleshooting, or technical anomalies.

- 4) Provide input into State CFMO projects to ensure adequate ESS infrastructure and requirements are included in Military Construction (MILCON) 1390/91 documents
- 5) Provide value-add ESS input during MILCON Project Design Charrettes
- 6) Interface and update ARNG-ILI ESS Program Manager and ESS Program Regional Representative to your State on consistent basis
- 7) Communicate requirements and issues with the ARNG-ILI ESS Program Regional Representative to your State once known
- 8) Identify State requirements for State Equipment Report (SER) Maintenance and Monitoring (M&M) tool for submission of annual sustainment requirements to ARNG-ILI ESS Program
- 10) Identify State requirements for Program Objective Memorandum (POM) tool for submission of Future Year requirements to ARNG-ILI ESS Program
- 11) Ability to plan, program and forecast ESS requirements for the out years
- 12) Proficient with current IT and cellular technology
- 13) Proficient in tracking, logging, maintaining ESS requirements.
- 14) Applies ARNG-ILI ESS program ISO9000 standards, criteria, metrics, processes and procedures in State ESS Program routines.

c) Training Recommendations: (IAW AR190-13, Para 3-4-c)

- 1) Attend required ARNG-ILI ESS IDS Certification Training conducted on Camp J.T. Robinson in Building 0358 (ARNG-ILI ESS Training Facility) (ATTRS: 964-ARNG-CFMO-110)
- 2) Attend ARNG-ILI ESS Supervisor-Lead Technician Course (ATTRS: 964-ARNG-CFMO-111)
- 3) Attend ARNG-ILI ESS Advance (ACS and CCTV) Courses (ATTRS: 964-ARNG-CFMO-113)
- 4) Attend ESS standardized equipment manufacturer training as required
- 5) Encourage State Unit Supply Sergeants to attend the ARNG-ILI ESS IDS Operators Training Course in conjunction with attending LTC-027(2) course. Sign-up will be offered in 1st week of LTC-027(2).

d) Maintenance Responsibilities (not limited to):

- 1) Ensure adequate spare parts, tools, supplies are available to meet service requirements
- 2) Ensure ARNG-approved-authorized equipment and/or DIACAP-certified systems are applied to ESS requirements standardized by State
- 3) Delegate responsibilities to State ESS Technicians as required
- 4) Schedule and track semi-annual ESS preventive maintenance requirements and work order system that will sustain an audit
- 5) Identify and report systemic issues

e) Regulatory Requirements (but not limited to):

- 1) AR 190-11, Physical Security of Arms, Ammunition, and Explosives (05-Sep-2013)
- 2) AR 190-13, The Army Physical Security Program (25-Feb-2011)
- 3) AR 190-16, Physical Security (31-May-1991)
- 4) AR 190-51, Security of Unclassified Army Property (Sensitive and Non-Sensitive) (30-Sep-93)
- 5) DA PAM 190-51, Risk Analysis for Army Property (30-Sep-1993)
- 6) UFC 4-020-01, Planning Manual (11-Sep-2008)
- 7) UFC 4-020-04 TM 5-853-01, Security Engineering Electronic Security (01-Mar-2005)
- 8) NFPA 730, Guide for Premises Security (2005 Edition)
- 9) Other Army Regulations and Department of Defense Policies where applicable

(3) Salary & Benefits including vacation, holiday, and sick leave benefits; FICA, worker's compensation, health and life insurance, and retirement benefits.

a) Salary compensation will be no less than the Department of Labor Bureau of Labor Statistics using Position Code: 49-2098 for baseline ESS Technicians.

b) Salary compensation will be no less than the Department of Labor Bureau of Labor Statistics using Position Code: 49-1011 for the ESS Supervisor-Lead Technician.

c) Payments for salaries, to include approved overtime and allowable benefits in accordance with State personnel policy for the payment of salary and benefits of like state government positions within the same geographic area. If a State has a pay raise, pay freeze or pay cap, a hiring freeze or employee furloughs for like positions throughout the State, then ESS employees will have corresponding limitations. When there is no like state government position available, salary/wage will be equivalent to comparable level of effort (series and grade) to Federal Civil Service employee in the same geographic area. The expectation is to field an ESS team with a minimum of 2 ESS technicians per State Army National Guard organization with one having supervisor and administrative responsibilities of ESS equipment and operations in accordance with ARNG-ILI ESS Program Office standards, criteria, standardization, and guidelines. Additional ESS technicians may be authorized based on the total number of ARNG-ILI-F ESS PM approved **federal systems requirements** that are supported under this agreement.

- 1) ESS Technical Personnel – 131G39.1F
- 2) ESS Supervisor-Lead Technical Person – 131G39.30 (Labor only)

(4) Travel Expenses.

a) Reimbursement of travel expenses is authorized, at a rate consistent with State regulations, for personnel performing ESS MIO&M activities, away from their home office. The authorities and provisions set forth in NGR 5-1 and the terms and conditions contained in the Master Cooperative Agreement (MCA) to which this is an Appendix are incorporated into this Appendix by reference.

- 1) ESS Technical Personnel – 131G39.1F
- 2) ESS Supervisor-Lead Technical Person – 131G39.1F (Other Direct Costs – travel, training, vehicle, tools, etc.)

b) Installation Labor. Labor associated with the installation of ESS equipment as approved by the ARNG-ILI-F ESS PM.

c) Training. Authorized are costs associated with certifications, examinations, or licensing which are required by ARNG-ILI-F ESS, State or Federal agencies for the installation, operation or maintenance of ESS equipment; to include required attendance at ARNG-ILI-F ESS Training Workshop events, ARNG-ILI-F ESS Training/Certification courses, and specified ESS-manufacturer certification training for authorized equipment. ARNG-ILI-F ESS certification and/or manufacturer certification training shall be limited to attendance once every three (3) years. Courses and or training directly related to enhancing the industry trade performance of authorized ESS personnel in the execution of their ESS MIO&M responsibilities may be requested and authorized. Training is not intended to provide for an Associate, Bachelor, Masters, or any other degree.

d) Equipment, machines, tools and vehicles. Authorized are costs associated with the purchase, rental, lease, operations, furniture, maintenance, authorized diagnostic equipment (i.e...computers, manufacturer-component laptops, etc.), and repair of equipment, machines, tools and vehicles necessary in the performance of this appendix. Repairs to vehicles are limited to normal wear and tear. In the event of any losses or damages, State Grants Officer Representative (GOR) should reference NGR 5-1, 8-4: Use of Federally Owned Equipment by State Employee. If the items are not for exclusive use, then the State Military Department must reduce its request for reimbursement proportionately. Advance approval by the ARNG-ILI-F ESS PM is required.

e) Rental or lease of items for a period in excess of 240 days requires USPFO approval of an economic analysis showing that this is the most cost effective alternative to ensure the State Military Department meets its responsibilities under the ESS MIO&M Appendix.

f) Communications. Cellular communication service, to include cellular phone/personal digital assistant and their monthly charges, required by authorized ESS personnel in the performance of their duties. This includes the procurement of communication devices and monthly cellular phone charges to support the monitoring of the cellular back-up Intrusion Detection Systems (IDS) alarm devices. If the items are not for the exclusive use, in support of the ESS MIO&M Appendix, then the Grantee must reduce its request for reimbursement proportionately.

g) Repair by Replacement. Repair by replacement of existing electronic security systems components, in approved ARNG-ILI-F facilities, may be accomplished, under this ESS MIO&M Appendix, if said systems are damaged beyond repair. Such repairs will be verified and authorized, by the ARNG-ILI-F ESS PM, on a case-by-case basis. Replacement is not to be used as a substitute for obsolete systems. Planned replacements should be programmed and funded from IO&M minor construction funds.

h) Replacement Components. Replacement components that are more durable and provided longer life may be used if they can be economically justified and are approved in advance by ARNG-ILI-F ESS. Repairs shall not bring the ESS system to a state of utilization in excess of that which is currently authorized by ARNG-ILI-F ESS.

i) Repair Parts. Repair parts necessary to provide essential operational support of authorized ESS MIO&M in approved ARNG facilities.

j) Supplies. Components, materials and parts for repair and maintenance. Supplies, components, materials and parts necessary to ensure that the ARNG-ILI-F ESS approved electronic security system remains operational and provides the security required during non-duty hours to protect governmental property/facilities is authorized.

k) Monitoring

1) The Central Monitoring Station shall be in compliance with UL 827, Central Station Alarm Services, for the protection of Arms, Ammunition and Explosives (AA&E) vaults. UL 2050, National Industrial Security Systems as outlined in Division 28, Section 28 16 00.00 20, dated April 2006, of the Unified Facilities Guide Specifications (UFGS) is for the protection of Sensitive Compartmented Information Facilities (SCIFs).

a. UL 827 is for the intended protection of Arms, Ammunition, and Explosive (AA&E) vaults and an approved expense using QPSM ESS funds.

b. UL 2050 is for the intended protection of Sensitive Compartmented Information Facilities (SCIFs) Secure Rooms. ARNG-ILI ESS will attempt to fund for the secure central monitoring station requirements in coordination with ARNG-G2 and ARNG-ODP. Funding will be based on ARNG-HQ proven records of certified and authorized SCIFs and not a State self-assessment quantity count.

c. The State should submit budget reimbursement discrepancies to ARNG-ILI-F ESS PM and their ARNG-HQ Program equivalent for verification.

2) Central Monitoring Station charges for ARNG-ILI ESS approved electronic security systems that are in compliance with UFGS are authorized 100% Electronic Security System Program federal requirement support.

Section 406. Unauthorized Activities/Charges.

a. Flexible spending authority cannot be imposed against the Electronic Security Systems Program funding. The ARNG-ILI-F ESS Program has strict requirements for State ESS Programs not to deviate from the approved systems, sensors, components, ancillary accessories, or technician labor workforce certifications. If any State selects to deviate from ARNG-ILI ESS Program Office standards, then those procured components or business aspects will not be supported with future federal ARNG ESS (QPSM) funds with regards to training, certification, per diem of travel requirements, spare parts, specialized tools, or technician support. Any deviations can result in future funding restrictions/ decrements where as any funds are withheld, not used for ESS purposes, or new non-standard system will not meet ARNG ESS DIACAP/ RMF requirements and may fail to communicate with the form-fit-function of the other ARNG ESS standardized equipment used statewide and enterprise-wide across the 54 States. There are risks, due in large part to potential, inherent security risks and compromise of federal military assets.

b. ESS maintenance and monitoring of SIPRNET requirements are authorized expenditures under Appendix 1004.

c. Procurement of uniforms for ESS MIO&M personnel is not authorized.

d. Procurement of new ESS devices, accessories, or non-authorized equipment as per ARNG-ILI ESS Program standards & criteria for the installation of new systems is not authorized. Such equipment can only be procured and installed through established channels (ARNG-ILI-F ESS Program Office, MILCON or BRAC). Activities/charges for other than those stated in Section 405 are prohibited unless specifically approved by ARNG-ILI-F ESS.

e. Training and reimbursement in excess of the limitations stated in Section 405c.

Section 407. Budget Requirements.

a. Submission.

(1) The State ESS Supervisor-Lead Technician (in coordination with the Cooperative Agreement Program Manager (CA PM)) shall submit a budget preparation/ validation each fiscal year for ESS MIO&M to ARNG-ILI-F ESS for approval. The budget shall list, by line item, the ESS MIO&M to be funded under this Appendix and will indicate by line item the anticipated amount available for reimbursement through this agreement as per the ARNG-ILI-F ESS Program State Equipment Reporting tool for maintenance & monitoring of ESS equipment.

(2) The State ESS Supervisor-Lead Technician (in coordination with the Cooperative Agreement Program Manager (CA PM)) shall validate and submit their State ESS FY requirements, no later than 15-business days from

date of receipt of their State Equipment Report (SER) Maintenance and Monitoring (M&M) tool, from the ARNG-ILI-F ESS Program. This reoccurring process will occur each succeeding fiscal year. The State ESS SER M&M tool recognizes requirements that shall be analyzed by ARNG-ILI-F ESS Program as compared to the approved/authorized standards, criteria, and metrics. All FY ESS requirements are analyzed and proportionately assessed, based on HQDA QPSM AMSCOs (131G39.1F and 131G39.30) levels, amongst the 54 State ESS Programs. Upon approval by the ARNG-ILI-F ESS PM, the said State ESS SER M&M requirements support value shall be incorporated and executed into this Appendix.

b. Limitations.

(1) The total amount of the budget shall be the maximum amount for which the ARNG-ILI-F ESS Program has obligated to reimburse the State for the costs of performance of this Appendix. The CA PM must submit a request to the ARNG-ILI-F ESS PM to increase or decrease the budget amount in accordance with Paragraph d, below.

(2) The Budget shall include any limitation, restriction, or instruction on the expenditure of funds.

(3) ARNG-ILI-F ESS Program, in its discretion, may unilaterally increase or decrease the overall budget total, the total for any facility or the total for any line item.

(4) The Army Management Structure Codes (AMSCO) provided in the annual budget guidance letter, by the ARNG-ILI-F ESS Program, is the only authorized AMSCO for use.

c. Budget Reports.

(1) The CA PM shall reconcile budget amounts with ARNG-ILI-F ESS periodically, as of 31 December, 31 March, 30 June, 30 September, and 31 December. This report is due 30 days after the "as of" date".

(2) The State shall submit any other requested financial or budget report that ARNG-ILI-F ESS Program may require.

d. Budget Changes.

(1) The CA PM must submit a written request through the Grants Officer or USPFO to the ARNG-ILI-F ESS PM, to decrease or increase funds in their ESS budget.

(2) The request shall include an updated budget reconciliation report as an enclosure. The request will not be binding until the document receives the approval from the ARNG-ILI-F ESS PM; no reimbursement can take place until a CA modification to this Appendix has been executed.

Section 408. Appendix Administration.

Changes to the Appendix terms and conditions will be processed IAW NGR 5-1, Chapter 3

Section 409. Funding Limitation.

a. Approved Budget/Annual Funding Program (AFP): The total dollar amount that NGB anticipates, subject to the availability of funds, being available for reimbursement to the state for its costs in fulfilling its responsibilities under this Appendix. This amount may be increased or decreased by the ARNG-ILI-F ESS PM during the fiscal year.

b. Total Dollars Obligated: The total amount of funds obligated for NGB's share under this Appendix. Only funds obligated through an executed CA modification to this appendix are available for reimbursement to the state. Funds shall be obligated as received by the CA PM.

c. Accomplished as In-Kind Assistance: The total dollars expended through federal acquisition. This dollar amount may reflect anticipated In-Kind Assistance and be updated as IKA is approved, but as a minimum shall reflect the total dollars accomplished through In-Kind Assistance in support of this Appendix for each fiscal year as it occurs.

d. In accordance with Section 407 the following funding limitations are provided for each fiscal year as it occurs.

| | | |
|------------------------------|--|---|
| 1. Fiscal Year 2016 : | Approved Budget/(AFP) \$396,000.00 Accomplished as In-Kind Assistance \$ 34,200.00 | Total Dollars Obligated \$396,000.00 |
| 2. Fiscal Year _____: | Approved Budget/(AFP) \$ _____ Accomplished as In-Kind Assistance \$ _____ | Total Dollars Obligated \$ _____ |
| 3. Fiscal Year _____: | Approved Budget/(AFP) \$ _____ Accomplished as In-Kind Assistance \$ _____ | Total Dollars Obligated \$ _____ |
| 4. Fiscal Year _____: | Approved Budget/(AFP) \$ _____ Accomplished as In-Kind Assistance \$ _____ | Total Dollars Obligated \$ _____ |
| 5. Fiscal Year _____: | Approved Budget/(AFP) \$ _____ Accomplished as In-Kind Assistance \$ _____ | Total Dollars Obligated \$ _____ |

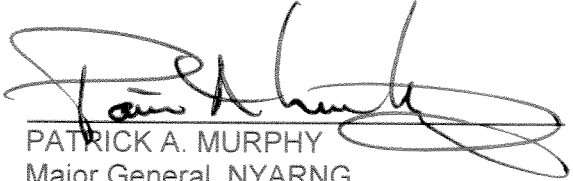



Section 410. Agreement Particulars.

The information below shall be recorded by the Grants Officer's Representative (GOR) for compliance with the reporting requirements of the DoD Assistance Award Action Report System (DAADS) and the Federal Funding Accountability and Transparency Act of 2006.

| | |
|---|---|
| a. Grantee/Recipient Category: | Government |
| b. Grantee/Recipient Type: | State Government |
| c. Grantee/Recipient DUNS: | 044776024 |
| d. Primary Place of Performance (if different from 'Issued To' on CA Modification Form): (To include Zip + 4) | New York, 12110-3514 |
| e. Grantee/Recipient County (Primary Place of Performance): | Albany |
| f. Grantee/Recipient Congressional District (Primary Place of Performance): | 36 |
| g. Major Agency: | DOD |
| h. Agency Code: | 2100 |
| i. Funding Agency: | Army |
| j. Program Source Agency: | 21 |
| k. Transaction Type: | Cooperative Agreement |
| l. CFDA: | 12.401 |
| m. CFDA Program Title: | Operation and Maintenance, Army National Guard |
| n. Program Source Account-Funding: | 2065 |
| o. Treasury Appropriation Code: | 2065 |
| p. Award/Obligation/Action Date: | 1 Oct 2015 |
| q. Starting Date: | 1 Oct 2015 |
| r. Ending Date: | 30 Sep 2016 |
| s. Record Type: | Individual Action |
| t. Fiscal Year/Quarter: | 2016/1 st Qtr |
| u. Unique Federal Award Identification Number (FAIN) | W912PQ-16-2-1004 |
| v. Approved Budget Amount: | \$396,000.00 |
| w. R&D Award (Yes or No) | No |
| x. Indirect Cost Rate or CPP Rate: | \$ 1,159.00 |

EXECUTION

IN WITNESS WHEREOF: The parties, by their signatures, execute this Appendix and agree to its terms and conditions.

| | |
|--|---|
| <p>STATE OF NEW YORK:</p> <p>BY:  PATRICK A. MURPHY Major General, NYARNG The Adjutant General</p> <p><u>9 Nov 15</u> (Date)</p> | <p>NATIONAL GUARD BUREAU:</p> <p>BY:  LAWRENCE J. ASHLEY Colonel, USA USP&FO for New York</p> <p><u>10 Nov 15</u> (Date)</p> |
| <p>Approved as Legal Form:</p> <p> Counsel Robert G. Conway, Jr. MNLA</p> <p><u>21 OCT 2015</u> (Date)</p> | <p>Approved as to Legal Form:</p> <p> Counsel Sean D. O'Brien, MAJ, JA, NYARNG LTC</p> <p><u>21 October 2015</u> (Date)</p> |