

COOPERATIVE AGREEMENT MODIFICATION

Agreement/Appendix Title and Number: W912PQ-17-2-1004

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

Modification Number: P0002

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

Action	Funding Source	From	Change	To
FED	Allotment	\$ -	\$ 403,900.00	\$ 403,900.00
FED	AFP	\$ 550,400.00	\$ (146,500.00)	\$ 403,900.00
FED	IKA		\$ -	

DESCRIPTION OF MODIFICATION:

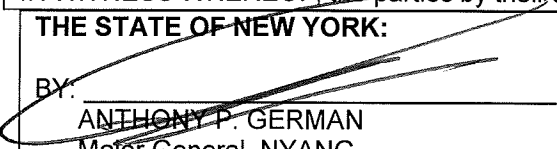
1. JUSTIFICATION: Changes to reflect initial AFP and Allotment for Appendix 1004, FY 17.
2. SUMMARY:
 - a. Increase Allotment in the amount of \$403,900.00
 - b. Decrease AFP in the amount of \$146,500.00 to \$403,900.00
3. ACTION: TAG signature and review of the ARNG MIO&M Appendix 1004 MOD 2. Return 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 17 with updated attachment.
6. As FY2017 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.

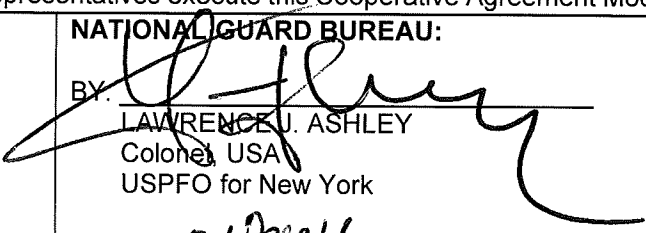
IN WITNESS WHEREOF, the parties by their authorized representatives execute this Cooperative Agreement Modification.

THE STATE OF NEW YORK:

BY: 
ANTHONY P. GERMAN
Major General, NYANG
The Adjutant General

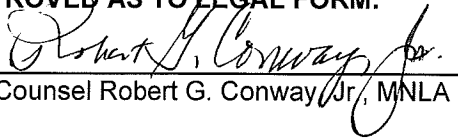
Date: 10/16/16

NATIONAL GUARD BUREAU:

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

Date: 9/26/16

APPROVED AS TO LEGAL FORM:

BY: 
Counsel Robert G. Conway Jr., MNLA

Date: 25 Oct 20 16

APPROVED AS TO LEGAL FORM:

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

Date: 26 Oct 2016

APPENDIX 4
ARNG ELECTRONIC SECURITY SYSTEM (ESS)
MANAGEMENT, INSTALLATION, OPERATION AND 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), Requirements and Analysis Division (IES) (ARNG-IES) Electronic Security Systems (ESS) 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-IES 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-IES ESS equipment used exclusively for the support of federal system requirements approved by the ARNG-IES 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 O&M funds after ARNG-IES 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-IES 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-IES ESS Program Manager (PM).

(5) ESS MIO&M provides federal support for Intrusion Detection Systems (IDS), Closed Circuit Television (CCTV), Electronic Entry and Access Control Equipment to include Intercom Systems, and other ESS systems as defined and approved by the ARNG-IES ESS Program Manager on authorized facilities.

(6) ESS MIO&M rendered beyond the scope of services authorized in this Appendix 4 will not be reimbursed through this agreement.

(7) The services performed by personnel at the State level in support of this Appendix 4, are to be accomplished using criteria, standards, processes, and procedures promulgated by the ARNG-IES 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 4, 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) Appendix 4 O&M funds are not authorized or approved for the use of maintenance and monitoring of SCIF or SIPRNET requirements. Appendix 4 ESS 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 as recognized in the AR190 series. Funds from G2/G6/State funds can be transferred, into Appendix 4, in order to provide for SCIF and SIPRNET ESS maintenance and monitoring requirements under the language of this Appendix.

Section 403. Office of Primary Responsibility.

a. The Office of Primary Responsibility for this Appendix is the Army National Guard Installations and Environment Directorate, Electronic Security Systems (ARNG-IES ESS) Program.

b. The Chief, ARNG-IEZ, for the purposes of the Appendix, is the designee of the Director, Army National Guard, 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 ARNG or the Director, ARNG, as specifically reserved under this Appendix for ARNG-IES 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, located at facilities listed on the current Facilities Inventory and Stationing Plan (FISP). **Those facility locations include but are not limited to: Readiness Centers, Army Aviation Support Facilities (AASF), Joint Forces Headquarters (JFHQ), Armed Forces Reserve Centers (AFRC), Combined Support Maintenance Shops (CSMS), Maneuver Area Training Equipment Site (MATES), Unit Training Equipment Site (UTES), Ammunition Supply Point (ASP), Facility Maintenance Shop (FMS), Organizational Maintenance Shop (OMS), United States Property**

Fiscal Office Warehouse (USPFOWH), Controlled-Humidity Project (CHP), Civil Support Team (CST), and other FISP facilities as approved by the ARNG-IES ESS Program Manager 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-IES 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-IES 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-IES ESS Program Equipment Metrics (Page 1)

ARNG-IE SS PROGRAM EQUIPMENT METRICS						
5/4/2015						
		RC-SINGLE*	RC-MULTI*	AASF/AVCRAD	JFHQ	MAINT FAC LARGE
CIDS-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
CIDS-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
CIDS-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
CIDS-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
INTERCOM	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
	HVR/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-IES ESS Program Equipment Metrics (Page 2)

ARNG-IE SS PROGRAM EQUIPMENT METRICS						
5/4/2015						
		MAINT FAC SMALL	CST	RTI	ASP**	USPFO
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
	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
	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
	HVR/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 panel ration
 ** 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 an ARNG-approved request for In-Kind Assistance (IKA)), or State-contract Labor personnel.

a) The ARNG-IES ESS Program Manager is to be contacted regarding all outsource contracts solicitations to insure contracted labor is compliant to meet ARNG-IES 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-IES 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) O&M 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-IES ESS Program Office guidelines, processes, procedures, standards, criteria and other documented requirements. For applicable labor rates, the ARNG-IES Program Office uses the Bureau of Labor Statistics - Technician Position Description Code: 49-2098.
<http://www.bls.gov/oes/current/oesrcst.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 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-IES ESS Program Office published standards, criteria, designs, standardization, training, and documentation requirements. For applicable labor rates, the ARNG-IES Program Office uses the Bureau of Labor Statistics - Technician Position Description Code: 49-1011. <http://www.bls.gov/oes/current/oesrcst.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-IES ESS Program Manager and ESS Program Regional Representative to your State on consistent basis
 - 7) Communicate requirements and issues with the ARNG-IES 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-IES ESS Program
 - 10) Identify State requirements for Program Objective Memorandum (POM) tool for submission of Future Year requirements to ARNG-IES 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-IES 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-IES ESS IDS Certification Training conducted on Camp J.T. Robinson in Building 0358 (ARNG-IES ESS Training Facility) (ATTRS: 964-ARNG-CFMO-110)

2) Attend ARNG-IES ESS Supervisor-Lead Technician Course (ATTRS: 964-ARNG-CFMO-111)

3) Attend ARNG-IES 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-IES 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-IES ESS Program Office standards, criteria, standardization, and guidelines. Additional ESS technicians may be authorized based on the total number of ARNG-IES ESS Program Manager 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-IES ESS Program Manager.

c) Training. Authorized are costs associated with certifications, examinations, or licensing which are required by ARNG-IES ESS, State or Federal agencies for the installation, operation or maintenance of ESS equipment; to include required attendance at ARNG-IES ESS hands-on technical certification and training courses, and specified ESS-manufacturer certification training for authorized equipment. ARNG-IES 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-IES ESS Program Manager 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-IES 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-IES ESS Program Manager, 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. **Repair by Replacement is not authorized/approved where no previously, installed equipment existed as well as where there's no infrastructure (conduit, electrical wiring, communication lines, etc.). This would constitute a new project and not authorized with QPSM O&M 13139G.1F funds, by the ARNG-IES ESS Program Manager.**

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-IES ESS. Repairs shall not bring the ESS system to a state of utilization in excess of that which is currently authorized by ARNG-IES 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-IES 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 O&M funds.

b. UL 2050 is for the intended protection of Sensitive Compartmented Information Facilities (SCIFs) Secure Rooms and **Secret Internet Protocol Router Network (SIPRNETs)**. ARNG-IES ESS is **attempting to get authorization from Headquarters, Department of Army (HQDA)** to fund **these** 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 SIPRNETs versus a State self-assessment quantity count.

c. The State should submit budget reimbursement discrepancies to ARNG-IES ESS **Program Manager** and their ARNG-HQ Program equivalent for verification.

2) Central Monitoring Station charges for ARNG-IES 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-IES ESS Program has strict **technical physical security** 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-IES ESS Program Office standards, then those procured components or business aspects will not be supported with future federal ARNG-IES ESS (QPSM) funds with regard to **labor**, training, certification, travel per diem of 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/**unauthorized** system will not meet ARNG **ESS Risk Management Framework** (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 **O&M funds** are not authorized expenditures, under Appendix 4, for **SCIFs and SIPRnets. Funds for these requirements need to be planned, programmed, budgeted, and executed by the applicable Program Offices.**

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-IES 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-IES ESS Program Office, MILCON or BRAC). Activities/charges for other than those stated in Section 405 are prohibited unless specifically approved by ARNG-IES ESS.

e. Training and reimbursement in excess of the limitations stated in Section 405a(4)c).

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-IES 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-IES 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 Fiscal Year 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-IES 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-IES 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-IES ESS **Program Manager**, 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-IES 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-IES ESS **Program Manager** 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-IES 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-IES ESS Program, is the only authorized AMSCO for use.

c. Budget Reports.

(1) The CA PM shall reconcile budget amounts with ARNG-IES ESS periodically, as of 31 December, 31 March, 30 June, 30 September, and 31 December **or as deemed needed upon modification**. 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-IES 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-IES ESS **Program Manager**, 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-IES ESS **Program Manager**; 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 being available for reimbursement, subject to the availability of funds, to the state for its costs in fulfilling its responsibilities under this Appendix. This amount may be increased or decreased by the ARNG-IES ESS **Program Manager** 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)
\$550,400.00 | Total Dollars Obligated
\$550,400.00 |
| | Accomplished as In-Kind Assistance \$ _____ | |
| 2. Fiscal Year 2017: | Approved Budget/(AFP)
\$403,900.00 | Total Dollars Obligated
\$403,900.00 |
| | Accomplished as In-Kind Assistance \$ _____ | |
| 3. Fiscal Year _____: | Approved Budget/(AFP)
\$ _____ | Total Dollars Obligated
\$ _____ |
| | Accomplished as In-Kind Assistance \$ _____ | |
| 4. Fiscal Year _____: | Approved Budget/(AFP)
\$ _____ | Total Dollars Obligated
\$ _____ |
| | Accomplished as In-Kind Assistance \$ _____ | |
| 5. Fiscal Year _____: | Approved Budget/(AFP)
\$ _____ | Total Dollars Obligated
\$ _____ |
| | Accomplished as In-Kind Assistance \$ _____ | |

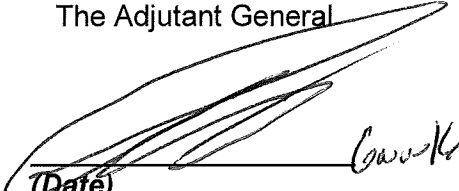
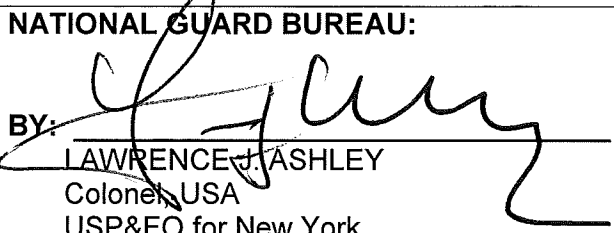

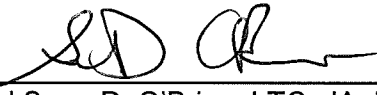
Section 410. Agreement Particulars.

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, as amended.

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 2016
q. Starting Date:	1 Oct 2016
r. Ending Date:	30 Sep 17
s. Record Type:	Individual Action
t. Fiscal Year/Quarter:	2017/1 st Qtr
u. Unique Federal Award Identification Number (FAIN)	W912PQ-17-2-1004
v. Approved Budget Amount:	\$550,400.00
w. R&D Award (Yes or No)	No
x. Indirect Cost Rate or CPP Rate:	\$991.00

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: _____ ANTHONY P. GERMAN Major General, NYANG The Adjutant General</p> <p> _____ (Date)</p>	<p>NATIONAL GUARD BUREAU:</p> <p>BY: _____ LAWRENCE J. TASHLEY Colonel, USA USP&FO for New York</p> <p> _____ (Date)</p>
<p>Approved as Legal Form:</p> <p> _____ Counsel Robert G. Conway, Jr., MNLA</p> <p><u>25 Oct 2016</u> (Date)</p>	<p>Approved as to Legal Form:</p> <p> _____ Counsel Sean D. O'Brien, LTC, JA, NYARNG</p> <p><u>3 Nov 2016</u> (Date)</p>