



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2011**

**TRANSIT SECURITY GRANT PROGRAM**

**GUIDANCE AND APPLICATION KIT  
SECTION I – APPLICATION AND REVIEW  
INFORMATION**

**MAY 2011**



U.S. DEPARTMENT OF HOMELAND SECURITY

**Title of Opportunity:** Fiscal Year (FY) 2011 Transit Security Grant Program (TSGP)

**Funding Opportunity Number:** DHS-11-GPD-075-000-03

**Catalog of Federal Domestic Assistance (CFDA) Number:** 97.075

**Federal Agency Name:** U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA)

**Announcement Type:** Initial

**Dates:** Completed applications must be submitted **no later than 11:59 p.m. EDT, July 5, 2011.**

**Additional Overview Information:** Changes have been implemented for the FY 2011 Transit Security Grant Program (TSGP). Highlights and changes from previous years are summarized below.

- **Reformatted TSGP Guidance Kit.** Due to continued stakeholder feedback and recommendations, GPD has reformatted its FY 2011 TSGP Guidance and Application Kit. The Kit is now structured into two separate documents, referred to as *Section I – Application and Review Information* and *Section II – Award Administration Information*. While both are important documents for grantees to study and thoroughly familiarize themselves with, *Section I* is intended to help grantees during the application phase of the TSGP whereas, *Section II* is intended to help grantees in understanding the rules and regulations associated with administering Federally-funded grant awards.
- **Available Funding.** In FY 2011, the total amount of funds distributed under this grant will be \$200,079,000.
- **Period of Performance.** The period of performance for the FY 2011 TSGP has been extended to 48 months for Capital projects; the period of performance for Operational projects will remain at 36 months.
- **Eligible Applicants.** Eligible transit agencies are determined based on daily unlinked passenger trips (ridership) and transit systems that serve historically eligible Urban Areas Security Initiative (UASI) jurisdictions
- **Top Transit Asset List (TTAL).** DHS has identified critical infrastructure assets of national concern through the TTAL. This list was developed by examining the highest-risk regions, the highest criticality-type assets within those regions, and intelligence information.

Please see Part I for additional information on TTAL remediation projects eligible for funding, and Table 7 on page 24 for a list of agencies with assets on the TTAL.

- **Program Framework.** The application and review process for FY 2011 TSGP will be wholly competitive. Awards for projects related to TTAL or Operational Packages (OPacks) will be made available to eligible transit agencies in the form of cooperative agreements. All other project types will be awarded as grants. Available TSGP funding will be prioritized based on the following funding priorities:
  - **Priority A – Operational Projects:** Employee training, drills and exercises, public awareness, and security planning
  - **Priority B – OPacks:** Development of new capabilities to enhance visible, unpredictable deterrence efforts in transit, including equipment and other support
  - **Priority C – Capital Projects for TTAL Remediation:** Hardening of TTAL assets owned by the transit agency in which the capital project or component to be funded, if part of a larger security initiative, serves to completely remediate known vulnerabilities, including security projects that provide for substantial security enhancements for assets on the TTAL
  - **Priority D – Remediation Plans for Assets on the TTAL:** Development and/or completion of remediation plans for assets on the TTAL.
  - **Priority E – Other Capital Security Projects:** All other Capital Projects not included in the above priorities

This framework will allow DHS to expedite the remediation of the highest risk shovel-ready transit infrastructure. Please see Part I for more information on the program framework and funding priorities.

- **Regional Transit Security Strategy (RTSS).** Each Regional Transit Security Working Group (RTSWG) is required to update its RTSS in 2011. More information on this requirement can be found on page 8.
- **Ten percent (10%) Limit on Funding for Operational Activities.** Per Section 1406 of the 9/11 Act, the FY 2011 TSGP allowance for operational activities is capped at ten percent (10%) of total program funding. Operational activities include training; drills and exercises; public awareness campaigns; development of security plans and vulnerability assessments; and Operational Packages.

Per section 1406 of the 9/11 Act, the Secretary **may waive the limitation on operational costs** specified in subparagraphs (B) through (E) of paragraph (m)(1) if the Secretary determines that such a waiver is required in the interest of national security, and if the Secretary provides a written justification to the appropriate congressional committees prior to any such action. Historically, approximately 20% of TSGP funds have been awarded each grant cycle for operational costs.

- **OPack Eligibility Requirements.** Previously, only historically Tier I transit agencies with a daily unlinked ridership of 200,000 or greater were eligible to apply for OPacks. For the FY 2011 TSGP, OPack eligibility is no longer driven by those requirements. Rather, any transit agency, including historically Tier II agencies, having a dedicated transit security/police force of 50 or more full-time, or full-time equivalent, sworn officers that will attest to its ability to sustain OPacks after the

grant period of performance may apply for OPack funding to hire full time personnel for K-9 teams, mobile screening teams, and/or anti-terrorism teams. Further, any agency, even those that have less than 50 full-time or full-time equivalent sworn officers, may also apply for the non-personnel aspects of operational packages (e.g., equipment and support relative to anti-terrorism, mobile screening, and/or canine team activities).

- **Operational Activities on Overtime.** Besides OPack funding to hire new full-time personnel, all agencies may submit projects to fund transit security police forces/law enforcement providers for patrols and activities on overtime such as directed patrols, additional canine team, mobile screening team, or anti-terrorism team patrols. These activities must be dedicated to the transit environment, and must be anti-terrorism in nature.
- **“Shovel-Ready” Projects.** Priority will be given to “shovel-ready” projects that have complete designs/remediation plans and can be implemented quickly.
- **Enhanced Data Collection.** As part of the DHS Performance Management Initiatives, including the Quadrennial Homeland Security Review (QHSR) Report, FEMA will enhance data collection processes and tools to assess the use and impact of FY 2011 TSGP grant funds. Grantees will not be asked to provide additional data, but may be required to modify existing data reporting processes to collect more useful performance information.
- **Sensitive Security Information (SSI) Requirements.** For the purposes of the TSGP, all IJs shall be considered SSI and treated as such. This means labeling as SSI and password protecting appropriate documents prior to submission. The passwords for protected documents must be sent (separate of the documents) to the following e-mail address [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov). If you have any additional questions please contact CSID at (800) 368-6498, Monday through Friday, 8:00 a.m. – 6:00 p.m. EST.

The subject line of the email should identify:

- Applicant name
- Application number

The body of the e-mail should clearly identify:

- Applicant name
- IJ number and/or summary description
- Urban Area
- Point of Contact (POC) information

NOTE: A single password should be provided for all SSI documents within the same application.

Further information regarding these requirements can be found on page 33.

# CONTENTS

<b>Contents</b> .....	<b>4</b>
<b>Part I. FUNDING OPPORTUNITY DESCRIPTION</b> .....	<b>5</b>
<b>Part II. AWARD INFORMATION</b> .....	<b>12</b>
<b>A. Funding Guidelines</b> .....	12
<b>Part III. ELIGIBILITY INFORMATION</b> .....	<b>23</b>
<b>A. Eligible Applicants</b> .....	23
<b>B. Governance</b> .....	26
<b>Part IV. APPLICATION AND SUBMISSION INFORMATION</b> .....	<b>28</b>
<b>A. Address to Request Application Package</b> .....	28
<b>B. Content and Form of Application</b> .....	28
<b>C. Environmental Planning and Historic Preservation (EHP) Compliance</b> .....	32
<b>D. Submission Dates and Times</b> .....	33
<b>Part V. APPLICATION REVIEW INFORMATION</b> .....	<b>34</b>
<b>A. Review Criteria</b> .....	34
<b>B. Review and Selection Process</b> .....	34
<b>C. Anticipated Announcement and Award Dates</b> .....	36
<b>D. Intergovernmental Review</b> .....	36
<b>OTHER INFORMATION</b> .....	<b>37</b>
<b>A. Investment Justification Template</b> .....	37
<b>B. Sample Budget Detail Worksheet</b> .....	40
<b>C. Security Plan Requirements</b> .....	43
<b>D. Remediation Plan Guide</b> .....	44
<b>E. Helpful Hints for Applicants</b> .....	45

## PART I.

# FUNDING OPPORTUNITY DESCRIPTION

The TSGP is one of five grant programs that constitute the Department of Homeland Security (DHS) FY 2011 focus on transportation infrastructure security activities. These grant programs are part of a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the Nation's critical infrastructure against risks associated with potential terrorist attacks. TSGP provides funds to owners and operators of transit systems (which include intra-city bus, commuter bus, ferries, and all forms of passenger rail) to protect critical surface transportation infrastructure and the traveling public from acts of terrorism and to increase the resilience of transit infrastructure. The FY 2011 TSGP is authorized by Section 1406 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (hereafter "9/11 Act") and the *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10).

The funding priorities for the FY 2011 TSGP reflect the Department's overall investment strategy. This document also reflects changes called for in the 9/11 Act and the Public Law 112-10.

The FY 2011 TSGP framework is similar to the framework used for the American Recovery and Reinvestment Act (ARRA) TSGP by prioritizing operational deterrence activities, and making substantial investments in the highest risk infrastructure and other assets considered critical to surface transportation security that are shovel-ready.

The FY 2011 TSGP will focus on operational deterrence activities and the remediation of critical transit infrastructure due to their effectiveness in reducing risk to transit systems. It will also consider funding for Multi-User High-Density Key Infrastructure Protection, Single-User High-Density Key Infrastructure Protection, Key Operating Asset Protection, and Other Mitigation Activities as outlined in Tables 1 and 2.

### ***Federal Investment Strategy***

The TSGP is an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness, including the security of America's critical infrastructure. The TSGP implements objectives addressed in a series of post-9/11 laws, strategy documents, plans, Executive Orders (EOs), and Homeland Security Presidential Directives (HSPDs). Of particular significance is the National Preparedness Guidelines and its associated work products, including the National Infrastructure Protection Plan (NIPP) and its transportation sector-specific plans and Executive Order 13416 (*Strengthening Surface Transportation Security*). The National Preparedness Guidelines are an all-hazards vision regarding the Nation's four core preparedness

objectives: to prevent, protect against, respond to, and recover from terrorist attacks and catastrophic natural disasters.

The National Preparedness Guidelines define a vision of what to accomplish and provide a set of tools to forge a unified national consensus about what to do and how to work together at the Federal, State, local, and Tribal levels. Private sector participation is integral to the Guidelines' success. DHS expects its critical infrastructure partners to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations, and investment to the degree practicable. The funding priorities outlined in this document reflect the National Preparedness Guidelines' priority investments as appropriate. Programmatic requirements or priority investment categories reflecting the national preparedness architecture for this grant program are identified below. Additional information may be found at [http://www.dhs.gov/files/publications/gc\\_1189788256647.shtm](http://www.dhs.gov/files/publications/gc_1189788256647.shtm).

### ***Risk-Based Funding***

Based upon ongoing intelligence analysis, extensive security reviews, consultations with operations and security officials of mass transit and passenger rail agencies, State and local government officials, and Federal security partners, DHS once again intends to focus its available transit security grant dollars on the highest-risk systems in our country's largest metropolitan areas. Eligible agencies were identified using a comprehensive, empirically-grounded risk analysis model that was also used in FY 2010.

### ***Top Transit Asset Remediation***

DHS has identified critical infrastructure assets of national concern through the Top Transit Asset List (TTAL). Critical infrastructure assets are those vital to the functionality and continuity of a major transit system that their incapacitation or destruction would have a debilitating effect on security, national economic security, public health or safety, or any combination thereof. This specifically includes critical underwater tunnels, underground stations or tunnels, shared transportation facilities and other interdependencies of the system, critical systems, and any other asset or facility that would severely impact the overall system if lost or damaged.

With the creation of the TTAL, DHS can now target funding to the remediation of those assets on the list in an informed and risk-based approach. Under the previous framework, DHS estimates that it would have taken 17 years to fully fund remediation for assets on the TTAL. The FY 2011 TSGP framework will allow DHS to direct funding to remediate these highest risk transit infrastructure in an expedited timeframe, reducing that timeframe by half contingent on future appropriations.

This list was developed by subject matter experts with extensive transit security knowledge who examined the highest-risk regions, the highest criticality-type assets within those regions, using risk analysis tools in addition to intelligence information. The process included extensive participation by several government entities including the

Department of Transportation's Federal Transit Administration (FTA), the DHS Offices of Science and Technology (S&T) and Infrastructure Protection (IP) as well as transit industry stakeholders.

The TTAL is dynamic in nature, and assets will be added as appropriate. Transit agencies may continue to submit assets they feel should be considered for inclusion on the TTAL by sending an email to [TSAGrants@tsa.dhs.gov](mailto:TSAGrants@tsa.dhs.gov).

The TTAL is considered Sensitive Security Information (SSI). See 49 C.F.R. Part 1520 and [http://www.tsa.gov/what\\_we\\_do/ssi/](http://www.tsa.gov/what_we_do/ssi/) for more information. Agencies that have assets on the TTAL are identified in Table 7. TSA will provide those agencies with the list of their assets that appear on the TTAL in accordance with proper SSI handling.

Agencies that have complete remediation plans may apply for funds to remediate the asset itself. Agencies with assets on this list that do not have a complete remediation plan are eligible to apply for funds to complete a full remediation plan. The plan should include timelines and costs associated with Environmental and Historical Preservation (EHP) review, full cost to remediate, and a timeline for full remediation. When applying for remediation funds, agencies must include a remediation plan for review and approval within their IJ. If an agency owns an asset that is not on the TTAL, they may still submit remediation projects for those assets to be considered either as a potential addition to the TTAL, or as part of the non-TTAL capital projects review.

### ***Regional Security Coordination***

DHS places a very high priority on ensuring that all TSGP applications reflect robust regional coordination and can show an investment strategy that institutionalizes regional security strategy integration. DHS will work with TSGP applicants to strengthen and support regional consultation processes. Close coordination of the Federal TSGP investments is encouraged in all applications.

### ***Regional Transit Security Working Groups (RTSWG)***

Each transit agency receiving funds through this program must participate in a RTSWG or develop a RTSWG if one does not already exist. The RTSWG should serve as the place where regional partners discuss risk, planning efforts, and mitigation strategies. These discussions should be held regardless of funding in order to continue to enhance the overall security of the region. Further, IJs that are developed collaboratively and that involve multiple eligible entities in implementation will result in funding preferences, as reflected by the regional collaboration component of the overall project score. Examples of regional efforts include regional drills and exercises, security training courses, interoperable communications, and public awareness campaigns.

### ***RTSWG Membership***

The following entities must be invited to actively participate in the group and have full membership rights in the RTSWG: eligible transit agencies and their security providers, eligible law enforcement agencies (as sub-grantees), the State Office of Homeland Security (OHS), and Amtrak. For agencies that share assets with Amtrak, close

coordination on the expenditure of funds for security enhancements at shared facilities must occur. The RTSWG must include representation from the Urban Area Working Group(s) and freight railroad carriers if their operations intersect with that of the transit agencies.

The RTSWG must also extend an invitation to the State Administrative Agency (SAA) to serve as a co-chair on the RTSWG with any other current chairs/co-chairs established by the region; however, the SAA is under no obligation to accept this position. It is the responsibility of the applicable co-chairs to serve as facilitators and coordinators for the RTSWG meetings and any other regional transit security grants activities as determined by each RTSWG. The Transportation Security Administration (TSA) and FEMA will serve as ex-officio members of the RTSWG.

### ***Regional Transit Security Strategy (RTSS)***

Each RTSWG is required to develop an updated RTSS during FY 2011. As the owners and/or operators of infrastructure that is vital to the well being of the States and Urban Areas they serve, it is imperative that transit systems be incorporated into regional preparedness planning efforts. A template for developing the RTSS can be located on <http://www.fema.gov/government/grant/index.shtm>.

The RTSS should serve as the integration point between the individual, risk-based Security and Emergency Preparedness Plans (SEPP), and the overall security goals and objectives of the region. Therefore, the RTSS must demonstrate a clear linkage to the applicable State and urban area homeland security strategies developed or currently being developed. It is expected that the SEPPs and the RTSS will serve as the basis on which funding is allocated to address regional transit security priorities, and the vehicle through which transit agencies may justify and access other funding and resources available on a region-wide basis through the UASI program. New or updated RTSSs must be completed and available for DHS review by December 31, 2011.

### ***Funding Priority Areas***

DHS has identified several different project types, and grouped them into five prioritized areas based on their effectiveness to reduce risk and alignment with departmental priorities.

**Table 1: Funding Priority Areas**

Funding Priority Area	Funding Priority Score	Project Description	Project Types
A	8	<b>Operational Activities*:</b> Training, Drills and Exercises, Public Awareness, Security Planning	<ul style="list-style-type: none"> <li>• Training (basic before follow-on):               <ul style="list-style-type: none"> <li>- Security Awareness</li> <li>- DHS-Approved Behavior Recognition Detection Courses</li> <li>- Counter-Surveillance</li> <li>- Immediate Actions for Security Threats/Incidents</li> </ul> </li> <li>• Drills and Exercises</li> <li>• Public Awareness</li> <li>• Vulnerability Assessments and Security Plans</li> </ul>
B	7	<b>Operational Packages</b> including overtime patrols	<ul style="list-style-type: none"> <li>• Canine Teams</li> <li>• Mobile Explosive Screening Teams</li> <li>• Anti-Terrorism Teams</li> <li>• Directed Patrols on Overtime</li> </ul>
C	6	<b>TTAL Remediation**</b> for assets that have complete remediation plans	<p>Anti-terrorism security enhancement measures, including security projects that provide for substantial security enhancements, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions:</p> <ul style="list-style-type: none"> <li>• Underwater Tunnels</li> <li>• High-Density Bridges</li> <li>• High-Density Stations</li> </ul>
D	5	<b>TTAL Remediation Plans</b>	<p>Remediation planning, including EHP considerations, for anti-terrorism security enhancement measures, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions:</p> <ul style="list-style-type: none"> <li>• Underwater Tunnels</li> <li>• High-Density Bridges</li> <li>• High-Density Stations</li> </ul>
E	4 - 1	<b>Other Capital Security Projects</b> based on Project Groups	Capital projects that do not fall under the above categories will be considered based on Project Groups, as outlined in Table 2.

\* **Operational Activities:** Agencies should explain in the IJ the linkages of their proposed projects to vulnerabilities identified in their BASE, or comparable vulnerability assessment/security plan if they have

not undergone a BASE review. Projects addressing identified deficiencies will be given higher consideration during the scoring process.

**\*\* Eligibility Requirements for TTAL Asset Remediation:** To qualify for a Priority C Project, applicants must provide in the IJ a detailed remediation plan for the asset on the TTAL, in addition to the other required documents, at the time of application. Failure to provide the documentation listed above may result in the project being considered under Priority D.

**Table 2: Priority E Project Groups and Scores**

Priority E Project Group Score	Project Group Description	Project Types
4	Multi-User High-Density Key Infrastructure Protection	<p>Anti-terrorism security enhancement measures, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions for:</p> <ul style="list-style-type: none"> <li>● Tunnel Hardening</li> <li>● High-Density Elevated Operations</li> <li>● Multi-User High-Density Stations</li> <li>● Hardening of SCADA or other industrial control systems</li> </ul>
3	Single-User High-Density Key Infrastructure Protection	<ul style="list-style-type: none"> <li>● Anti-terrorism security enhancement measures for: <ul style="list-style-type: none"> <li>- High-Density Stations</li> <li>- High-Density Bridges</li> </ul> </li> </ul>
2	Key Operating Asset Protection	<ul style="list-style-type: none"> <li>● Physical Hardening/Security of Control Centers</li> <li>● Secure stored/parked trains, engines, and buses <ul style="list-style-type: none"> <li>- Bus/Rail Yards</li> </ul> </li> <li>● Maintenance Facilities</li> </ul>
1	Other Mitigation Activities	<ul style="list-style-type: none"> <li>● Interoperable Communications<sup>1</sup></li> <li>● Anti-terrorism security enhancement measures for low-density stations</li> </ul>

The sample project types are not comprehensive and projects not listed may be eligible for funding if they fall into one of the funding priority area descriptions. Under all project types, priority will be given to “shovel-ready” projects. Project types that are not in Funding Priority Areas A--E will not be considered for funding under the FY 2011 TSGP.

**Operational Packages (OPacks)**

For FY 2011, any agency having a dedicated transit security/police force of 50 or more full-time or full-time equivalent sworn officers that can attest to their ability to sustain OPacks after the grant period of performance may apply for OPack funding to hire new officers for K-9 teams, mobile screening teams, and/or anti-terrorism teams. Law enforcement agencies with dedicated transit bureaus are eligible through the transit agency they provide security for; the transit agency is the grantee and must apply on

<sup>1</sup> Additional information on interoperable communications is included in the FY 2009 SAFECOM Recommended Guidance for Federal Grant Programs, which can be found on <http://www.safecomprogram.gov/SAFECOM/grant/default.htm>

behalf of the law enforcement agency. Security service providers with unsworn law enforcement officers or guards are not eligible.

OPack funds apply exclusively to anti-terrorism activities and may not be used to supplant existing agency programs already supported by the agency. OPack funds may only be used for new capabilities/programs. OPack capabilities must be funded on a full-time basis, only for their intended purposes in line with the capabilities and functions detailed in Part II.A. of this guidance.

Any eligible agency may apply for the equipment and support aspects of OPacks (e.g., explosives detection equipment) if they wish to provide personnel themselves (e.g., if they cannot hire additional officers, but can use existing officers). For example, an agency may purchase equipment such as portable explosion detection devices, as long as they provide personnel for a mobile screening team to operate the equipment.

### ***Operational Activities on Overtime***

Agencies may submit IJs to fund transit security police forces/law enforcement providers for patrols and activities on overtime, such as directed patrols, additional canine team, mobile screening team, or anti-terrorism team patrols. These activities must be dedicated to the transit environment, and must be anti-terrorism in nature. Agencies should identify the type of activity, length of operation (hours), number of personnel, and cost based on length of operation and personnel. Agencies should also note if the request is linked to a known event, such as hosting a significant regional sporting or political event; or a period of heightened awareness, such as a national holiday.

### ***TSGP Program Management: Roles and Responsibilities at DHS***

Effective management of the TSGP entails a collaborative effort and partnership within DHS, the dynamics of which require continuing outreach, coordination and interface. For the FY 2011 TSGP, FEMA is responsible for designing and operating the administrative mechanisms needed to implement and manage the grant program. TSA provides subject matter expertise on all matters relating to surface transportation security and other programmatic updates, and assists by coordinating the myriad intelligence information and risk/vulnerability assessments resulting in ranking and rating rail and mass transit assets nationwide against threats associated with potential terrorist attacks and in defining the parameters for identifying, protecting, deterring, responding to, and recovering from such incidents. Together, these two agencies with additional assistance and cooperation of the Federal Transit Administration (FTA), for rail and mass transit systems, and the Federal Railroad Administration (FRA), as needed for freight rail operations, determine the primary security architecture of the TSGP.

## PART II. AWARD INFORMATION

### **Authorizing Statutes**

*Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53) (the 9/11 Act) and the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10).*

### **Period of Performance**

The period of performance of this grant is 48 months for Capital projects; for Operational projects it is 36 months. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. For more information on grant extensions, see *Section II, Part I.A.*

### **Available Funding**

In FY 2011, the total amount of funds distributed under this grant program will be \$200,079,000. The FY 2011 TSGP funds will be allocated based on the funding priorities outlined in Tables 1 and 2. Eligible applicants are listed in Table 7.

**Table 3: FY 2011 Funding**

Transportation Mode	FY 2011 Funding
Transit Security Grant Program	\$200,079,000
Intercity Passenger Rail (Amtrak)*	\$19,960,000
Freight Rail Security Grant Program*	\$10,000,00
Intercity Bus Security Grant Program*	\$4,990,000
<b>TOTAL</b>	<b>\$235,029,000</b>

\*There are separate Grant Guidance and Application Kits for the Intercity Passenger Rail-Amtrak, Freight Rail Security Grant Programs, and Intercity Bus Security Grant Program.

### **Cost Match**

There is no cost match associated with this program.

### **A. Funding Guidelines**

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or

intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

The following pages outline general allowable and unallowable TSGP costs guidance.

**1. Management and Administration (M&A).** M&A costs may not exceed five percent (5%) of the total award. FY 2011 TSGP funds may be used for the following M&A costs:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of the FY 2011 TSGP or the design, requirements, and implementation of the TSGP
- Hiring of full-time or part-time staff, contractors or consultants and M&A expenses related to pre-application submission management activities and application requirements or meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS data calls
- Travel expenses related to TSGP grant administration
- Acquisition of authorized office equipment, including personal computers or laptops

**2. Allowable Costs.** Specific investments made in support of the funding priorities discussed above generally fall into one of the following five allowable expense categories:

1. Planning
2. Operational Activities
3. Equipment
4. Training
5. Exercises

The following provides guidance on allowable costs within each of these areas:

***Planning***

FY 2011 TSGP funds may be used for the following types of planning activities:

- Development and enhancement of security plans and protocols
- Development or further strengthening of security assessments, including multi-agency and multi-jurisdictional partnerships and conferences to facilitate planning activities

- Hiring of full or part-time staff and contractors or consultants to assist with planning activities (not for the purpose of hiring public safety personnel)
- Materials required to conduct planning activities
- Other project planning activities with prior approval from DHS

### ***Operational Activities***

Three OPacks have been developed to support operational activities and are available for funding for TSGP grant applicants.

DHS encourages applicants to develop innovative layered approaches to enhance both the human and facility security on transit systems. Helping mass transit systems and transit systems increase randomness, unpredictability, and ultimate effectiveness of monitoring and patrol in their security and terrorism prevention programs is critical to National transit security. Implementation of one of the three OPack modules discussed below supports these efforts. The following OPacks complement existing security systems and provide appropriate, practical, and cost-effective means of protecting assets.

Agencies may submit IJs to fund transit security police forces/law enforcement providers for patrols and activities on overtime, such as directed patrols, additional canine team, mobile screening team, or anti-terrorism team patrols. These activities must be dedicated to the transit environment, and must be anti-terrorism in nature. Agencies should identify the type of activity, length of operation (hours), number of personnel, and cost based on length of operation and personnel. Agencies should also note if the request is linked to a known event, such as hosting a significant regional sporting or political event; or a period of heightened awareness, such as a national holiday.

### **Security Capital Plan and Operational Sustainment**

Applicant requests for OPacks funding must include the submission of a five-year Security Capital and Operational Sustainment Plan. This plan must include how the agency proposes to implement capital projects that will decrease the need for operational activities, and/or demonstrate how the agency will sustain the operational investments after grant funding has been expended. Requests for OPacks will not be funded if the applicant does not have a Security Capital and Operational Sustainment Plan.

- **Explosives Detection Canine Teams (EDCT).** When combined with the existing capability of a transit security/police force, the added value provided through the addition of a canine team is significant. EDCTs are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. The TSGP will provide funds to establish dedicated security/police force canine teams. Each canine team will be composed of one dog and one handler. Funds for these canine teams may **not** be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.

- **Anti-Terrorism Teams (ATT).** The ATT capability provided through the OPack program will offer TSGP funding for dedicated transit ATT capability on a regular basis, rather than using teams for the surge capacity provided by DHS in the past. ATTs do not supersede other local transit security forces; rather, they augment current capabilities. Each ATT will consist of four individuals, including two overt elements (e.g., uniformed transit sector law enforcement officer, canine team, mobile explosive screeners), and two discreet observer elements. Funds for these canine teams may not be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.
- **Mobile Explosive Screening Team.** The Mobile Explosive Screening Team OPack will allow grantees the flexibility to deploy combinations of trained individuals and technologies that will assist in making screening decisions where there are large numbers of individuals with hand carried items. This screening technology will be coupled with mobile explosive screening technologies.

**Funding Availability for OPacks**

OPacks will be funded for a 36 month period. The monetary figures presented below are stated in terms of cost per period of performance (which indicates actual/complete funding for the 36 month period). Additionally, any OPack costs after the 36 month period of performance (including expenses related to maintenance, personnel, equipment, etc.) are the responsibility of the applicable transit system or law enforcement sub-recipient. If these positions are not sustained, the State or local agency will not be eligible for this personnel support in the future.

**Table 4: Available Funding for OPacks**

Operational Package	Maximum Funding per Year (12 months)	Maximum Funding per POP (36 months)
EDCT	\$150,000 per team	\$450,000 per team
ATT	\$500,000 per team	\$1,500,000 per team
Mobile Explosive Screening Team	\$600,000 per team	\$1,800,000 per team

**OPack Requirements**

TSGP OPack funds may only be used for new positions and cannot be used to pay for existing capabilities/programs (e.g., canine teams) already supported by the grantee. Non-supplanting restrictions apply.

**Table 5: OPack Requirements**

Operational Package	Requirements
Explosives Detection Canine Teams (EDCT)	Please refer to page 17 for detailed information regarding EDCTs under the TSGP

Operational Package	Requirements
Anti-Terrorism Teams (ATT)	<p>Specific for the Canine Team within the ATT:</p> <ul style="list-style-type: none"> <li>• Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization</li> <li>• Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification</li> <li>• The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program), the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement</li> <li>• The individuals hired for the covert and overt elements must be properly trained law enforcement officers</li> <li>• Certifications should be on file with the grantee and must be made available to DHS upon request</li> </ul>
Mobile Explosives Screening Team	Certifications should be on file with the grantee and must be made available to DHS upon request

### Allowable Expenses for OPacks

Table 6 identifies allowable expenses for the various OPacks. Please see the inserted footnotes for clarification of certain allowable costs.

**Table 6: Allowable Expenses for OPacks**

	Operational Package	Salary and Fringe Benefits	Training and Certification <sup>2</sup>	Equipment Costs	Purchase and Train a Canine <sup>4</sup>	Canine Costs <sup>3</sup>
1.	EDCT	✓	✓	✓	✓ <sup>4</sup>	✓
2.	ATT	✓	✓	✓	✓	✓
3.	Mobile Explosives Screening Team	✓		✓ <sup>5</sup>		

<sup>2</sup> Travel costs associated with training for personnel, handlers, and canines are allowable

<sup>3</sup> Canine costs include but are not limited to: veterinary, housing, and feeding costs

<sup>4</sup> Training specific to the detection of common explosives odors is allowable

<sup>5</sup> Equipment and other costs can include but are not limited to: explosives detection; stainless steel search tables; consumables such as gloves, swabs, and alcohol; and land mobile radios

### **Specific Guidance for EDCT**

When combined with the existing capability of a transit security/police force, the added value provided through the addition of a canine team is significant. EDCTs are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. The TSGP will provide funds to establish dedicated security/police EDCTs. Funds for these canine teams may not be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.

Each EDCT, composed of one dog and one handler, must be certified by an appropriate, qualified organization. TSA Certified Explosives Detection Canine Teams will meet or exceed certification standards set for by the TSA National Explosives Detection Canine Team Program (NEDCTP). Grantee EDCTs that do not participate in the NEDCTP will be required to certify annually under their respective agency, local and State regulations. The grantee will maintain certification, utilization, and training data to show compliance in meeting or exceeding those guidelines set forth by the Scientific Working Group on Dog and Orthogonal Detection Guidelines (SWGDOG), formulated as of September 14, 2007, in addition to requirements set forth in the grant guidance.

The grantee will ensure that certified EDCTs are available to respond to situations 24 hours a day, seven days per week on an on-duty or off-duty on call basis. If TSGP-funded EDCTs are not available, other EDCTs (non-TSGP funded) may be utilized for this response. The intent is to provide maximum coverage during peak operating hours and to maintain the ability to promptly respond to threats that affect public safety or mass transit operations.

The grantee will ensure that a written plan or standard operating policy and procedure exists that describes EDCT deployment policy to include visible and unpredictable deterrent efforts and on-call EDCTs rapid response times as dictated by the agency's Standard Operating Policy and Procedures (SOPP). The plan must be made available to TSA upon request.

EDCTs under this grant are single purpose and will be trained to detect "live" not "simulated" explosives only. EDCTs must not have received previous training to detect any other substances.

The grantee will ensure that each EDCT receives on-site proficiency training at a minimum of four hours per week/duty cycle. This training shall include, but not limited to: mass transit passenger cars, terminal/platform, luggage, freight/warehouse, and vehicles. Complete, detailed, and accurate training records must be maintained for all proficiency training conducted by each EDCT. These records must be made available to TSA upon request.

The grantee will conduct appropriate training or other canine activities, within view of the public, to increase public awareness of EDCTs and provide a noticeable

deterrent to acts which affect public safety or mass transit operations. The grantee will also ensure that such activities include, over a period of time, a presence in operational areas of the mass transit system during peak and off-peak hours. The grantee agrees that EDCTs will be utilized at least eighty percent (80%) of their duty time, annually.

The grantee will comply with requirements for the proper storage, handling and transportation of all explosive training aids in accordance with BATF Federal Explosive Law and Regulations as outlined in publication ATF P 5400.7 (09/00).

The grantee will ensure that a written security procedure plan exists for the safekeeping of all explosive training aids, to include safe transportation. The grantee will document the removal, use and return of explosive training aids used during training exercises or for any other reason. The plan and all documentation must be made available to TSA upon request.

The grantee will provide safe and sanitary kennel facilities for program canines. This applies to kenneling canine at the mass transit system, handlers' residences or commercial boarding facilities. Canines must not be left in makeshift accommodations or without proper supervision, protection and care. The grantee will ensure that canines are transported on-duty and off-duty in vehicles configured with adequate temperature control, padding and screening to ensure proper health, safety and security.

The grantee will ensure that adequate routine and emergency veterinary care for all canines is provided.

TSA reserves the right to conduct an on-site operational and record review upon 48 hour notice to ensure compliance with applicable Federal regulations.

### ***Equipment***

FY 2011 TSGP funds may be used for the following categories of equipment. A comprehensive listing of allowable equipment categories and types is found on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) at <https://www.rkb.us/lists.cfm>. These costs include:

- Personal protection equipment
- Explosive device mitigation and remediation equipment
- CBRNE operational search and rescue equipment, logistical support equipment, reference materials or incident response vehicles, including response watercraft
- Interoperable communications equipment
- Efforts to address flaws in the computerized systems that control generators, switching stations, and electrical substations as well as other emerging threats to infrastructure critical to the U.S. economy
- Detection equipment
- Decontamination equipment

- Medical supplies and limited pharmaceuticals
- Power equipment
- Terrorism incident prevention equipment
- Physical security enhancement equipment

Unless otherwise noted, equipment must be certified that it meets required regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. Equipment must comply with the OSHA requirement for certification of electrical equipment by a nationally recognized testing laboratory, and demonstrate compliance with relevant DHS-adopted standards through a supplier's declaration of conformity with appropriate supporting data and documentation per ISO/IEC 17050, parts one and two. In addition, agencies must have all necessary certifications and licenses for the requested equipment, as appropriate, prior to the request.

A list of applicable standards is found at the following website <https://www.rkb.us/lists.cfm>. DHS adopted standards are found at <http://www.dhs.gov/xfrstresp/standards>.

***Maintenance and Sustainment.*** The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. Grantees are reminded that supplanting is not permitted. Maintenance contracts and warranties, repair and replacement costs, upgrades, and/or user fees for equipment that was not originally purchased with preparedness grant funding [or provided by DHS components listed in Information Bulletins (IB) 336 and 348 may not be subsequently paid for with preparedness grant funding. Please refer to GPD's IBs 336 and 348, located at <http://www.fema.gov/government/grant/bulletins/index.shtm>. Routine upkeep (i.e. gasoline, tire replacement, routine oil changes, monthly inspections, grounds and facility maintenance etc.) is the responsibility of the grantee and may not be funded with preparedness grant funding.

- **Maintenance Contracts and Warranties.** To increase the useful life of the equipment, maintenance contracts, and warranties may be purchased using grant funding from one FY to cover equipment purchased with funding from a different FY. The use of grant funding for the purchase of maintenance contracts and warranties must meet the following conditions:
  - Maintenance contracts and warranties may only be purchased for equipment that has been purchased using FEMA preparedness grant funding or provided by DHS components
  - To avoid supplementing congressional appropriations for specific programs, maintenance contracts and warranties must be purchased using funds from the same grant program used to purchase the original equipment
  - The term of the maintenance contract or warranty shall not exceed the period of performance of the grant to which the contract is being charged

- **Repair and Replacement Costs.** The cost of repair and replacement parts for equipment purchased using FEMA preparedness grant funding is an allowable expense
  - Repair and replacement parts may only be purchased for equipment that has been purchased using FEMA preparedness grant funding or provided by DHS components
  - To avoid supplementing Congressional appropriations for specific programs, repair and replacement parts must be purchased using the same grant program used to purchase the original equipment
- **Upgrades.** FEMA preparedness grant funding may be used to upgrade previously purchased allowable equipment. For example, if the grantee purchased risk management software with Homeland Security Grant Program (HSGP) funds in FY 2005 and would like to use FY 2011 grant funding to upgrade the software, this is allowable.
  - Upgrades may only be purchased for equipment that has been purchased using FEMA preparedness grant funding or provided by DHS components
  - To avoid supplementing Congressional appropriations for specific programs, upgrades must be purchased using the same grant program used to purchase the original equipment
- **User Fees.** User fees are viewed as costs for specific services required to maintain and provide continued operation of equipment or systems. An example would be the recurring service fees associated with handheld radios or mobile data computers.
  - User fees may only be paid for equipment that has been purchased using FEMA preparedness grant funding or provided by DHS components
  - To avoid supplementing Congressional appropriations for specific programs, user fees must be paid for using the same grant program used to purchase the original equipment. The service time purchased shall not exceed the period of performance of the grant to which the user fee is being charged.

Grantees must comply with all the requirements in 44 CFR Part 13 and 2 CFR Part 215.

**Construction Projects Guidance.** FY 2011 TSGP recipients using funds for construction projects must comply with the *Davis-Bacon Act*. Grant recipients must ensure that their contractors or sub-contractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website at <http://www.dol.gov/esa/programs/dbra/>. See also Section II, *Part I.B.5.5.6*, EHP compliance and *Part I.B.1.1.4* for requirements related to duplication of benefits.

### **Training**

FY 2011 TSGP funds may be used for the following training activities:

- **Training Workshops and Conferences.** Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development. Grantees are strongly encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed fifteen percent (15%) of the total allocation. Dual compensation is unallowable.
- **Overtime and Backfill Costs.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Travel.** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related, approved training
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).
- **Other Items.** These costs may include the rental of space/locations for planning and conducting training
- **Funds Used to Develop, Deliver, and Evaluate Training,** including costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment
- **Certification/Recertification of Instructors** is an allowable cost. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. This information is contained in an IB 193, issued October 20, 2005.

Information on DHS-approved training can found at the following website  
<http://www.firstrespondertraining.gov/>.

## **Exercises**

FY 2011 TSGP funds may be used for the following exercise activities:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise** includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed fifteen percent (15%) of the total allocation. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) – whichever is more stringent – must be followed. In no case is dual compensation allowable.
- **Overtime and Backfill Costs.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Travel.** Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s).
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **Other Items.** These costs include the rental of space/locations for exercise planning and conduct, rental of equipment (e.g., portable toilets, and tents), gasoline, exercise signs, etc. Grantees are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities.

### **3. Unallowable Costs.** Specific unallowable costs include:

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc.), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems, and ammunition
- Personnel costs (except as detailed above)
- Activities unrelated to the completion and implementation of the TSGP
- Other items not in accordance with the AEL or previously listed as allowable costs

## PART III.

# ELIGIBILITY INFORMATION

### A. Eligible Applicants

Agencies eligible for FY 2011 TSGP are determined based upon daily unlinked passenger trips (ridership) and transit systems that serve historically eligible UASI jurisdictions. Certain ferry systems are eligible to participate in the FY 2011 TSGP and receive funds. However, any ferry system electing to participate and receive funds under the FY 2011 TSGP cannot participate in the FY 2011 Port Security Grant Program (PSGP) and will not be considered for funding under the FY 2011 PSGP. Likewise, any ferry system that participates in the PSGP cannot be considered for funding under the TSGP.

The 9/11 Act sets a requirement for eligibility that agencies have either undergone a security assessment by DHS or developed a security plan. Additionally, the legislation directs that grant funds be used to address items in the security assessment or the security plan. In order to be eligible for the FY 2011 TSGP, transit agencies must have either undergone a security assessment conducted by DHS, such as the BASE security assessment performed by TSA Transportation Security Inspectors-Surface, or developed and/or updated their security plan within the last three years. A copy of the Security Plan or security assessment must be available for DHS review upon request. Please see Part VI.C. for more information on security plan requirements.

Entities providing transit security (e.g., city/county police department, transit agency's own police department) for a transit agency must approve the security plan. The signature of a responsible official from the agency's transit security provider serves as this approval. If there is more than one provider in the core service area, all transit security providers must review and concur with the plan. Associated documentation of this approval must be provided to DHS upon request. In addition, it is encouraged that the agency's transit security provider review the IJs prior to submission.

Table 7 provides a list of eligible transit agencies. **Eligibility does not guarantee grant funding.**

**Table 7: Eligible Rail, Intra-city Bus, and Ferry Transit Agencies**

State	Urban Area	Eligible System	Asset on DHS TTAL
AZ	Phoenix Area	City of Phoenix Public Transit Department	
		Valley Metro Regional Public Transportation Authority (Valley Metro)	
	Tucson Area	City of Tucson Transit	
CA	Fresno Area	Fresno Area Express	
	Greater Los Angeles Area (Los Angeles/Long Beach and Anaheim/Santa Ana UASI Areas)	City of Los Angeles Department of Transportation	
		Foothill Transit	
		Long Beach Transit	
		Los Angeles County Metropolitan Transportation Authority	X
		Montebello Bus Lines	
		Omnitrans (San Bernardino)	
		Orange County Transportation Authority (OCTA)	
		Santa Monica's Big Blue Bus	
	Southern California Regional Rail Authority (Metrolink)		
	Sacramento Area	Sacramento Regional Transit District	
	San Diego Area	North San Diego County Transit District (NCTD)	
		San Diego Metropolitan Transit System (MTS)	
	San Francisco Bay Area	Alameda-Contra Costa Transit District (AC Transit)	
		Altamont Commuter Express (ACE)	
		Central Contra Costa Transit Authority	
		City of Alameda Ferry Services (Blue and Gold Lines Fleet)	
		City of Vallejo Transportation Program (Ferry only)	
		Golden Gate Bridge, Highway and Transportation District	
		Peninsula Corridor Joint Powers Board (Caltrain)	
		San Francisco Bay Area Rapid Transit District (BART)	X
San Francisco Municipal Railway (MUNI)			
San Mateo County Transit Authority (SamTrans)			
Santa Clara Valley Transportation Authority (VTA)			
Transbay Joint Powers Authority			
CO	Denver Area	Regional Transportation District	
DC/MD/VA	Greater National Capital Region (National Capital Region and Baltimore UASI Areas)	Arlington Transit (ART)	
		City of Alexandria (Alexandria Transit Company)	
		Fairfax County Department of Transportation	
		Maryland Transit Administration (MTA)	
		Montgomery County Department of Transportation	
		Potomac and Rappahannock Transportation Commission	
		Prince George's County Department of Public Works and Transportation	
		Virginia Railway Express (VRE)	
		Washington Metropolitan Area Transit Authority	X
FL	Jacksonville Area	Jacksonville Transportation Authority	
	Miami/Fort Lauderdale Area (Miami and Fort Lauderdale UASI)	Broward County Division of Mass Transit	
		Miami-Dade Transit	
		South Florida Regional Transportation Authority (Tri-Rail)	
	Orlando Area	Central Florida Regional Transportation Authority	
Tampa Area	Hillsborough Area Regional Transit Authority (HART)		

State	Urban Area	Eligible System	Asset on DHS TTAL
		Pinellas Sun Coast Transit Authority	
GA	Atlanta Area	Georgia Regional Transportation Authority	
		Metropolitan Atlanta Rapid Transit Authority (MARTA)	X
HI	Honolulu Area	City and County of Honolulu Department of Transportation Services	
IL	Urbana-Champaign Area	Champaign-Urbana Mass Transit District	
IL/IN	Chicago Area	Chicago Transit Authority (CTA)	X
		Northeast Illinois Commuter Railroad Corporation (METRA)	
		Northern Indiana Commuter Transportation District (NICTD)	
		PACE Suburban Bus	
IN	Indianapolis Area	Indianapolis Public Transportation Corporation	
KY	Louisville Area	Transit Authority of River City	
LA	New Orleans Area	Jefferson Parish Department of Transportation	
		New Orleans Regional Transit Authority (NORTA)	
MA	Boston Area	Massachusetts Bay Transportation Authority (MBTA)	X
	Springfield Area	Pioneer Valley Transit Authority	
MI	Detroit Area	City of Detroit Department of Transportation	
		Detroit Transportation Corporation	
		Suburban Mobility Authority for Regional Transportation	
	Lansing Area	Capital Area Transportation Authority	
MN	Twin Cities	Metro Transit	
MO	Kansas City Area	Kansas City Area Transportation Authority	
MO-IL	St. Louis Area	Bi-State Development Agency (Metro)	
		Madison County Transit District	
NC	Charlotte Area	Charlotte Area Transit System (CATS)	
NM	Albuquerque Area	Sun Tran of Albuquerque	
NV	Las Vegas Area	Regional Transportation Commission of Southern Nevada	
	Reno Area	Regional Transportation Commission of Washoe County	
NY	Albany Area	Capital District Transportation Authority	
	Buffalo Area	Niagara Frontier Transportation Authority	
	Rochester Area	Rochester Genesee Regional Transportation Authority	
NY/NJ/CT	New York City/Northern New Jersey Area (New York City and Jersey City/Newark UASI Areas)	Connecticut Department of Transportation	
		Connecticut Transit	
		Metropolitan Transportation Authority (MTA) (all components)	X
		New Jersey Transit Corp. (NJT)	X
		New York City Department of Transportation	X
		Port Authority of New York and New Jersey (PANYNJ)	X
	Westchester County Department of Transportation		
OH	Cincinnati Area	Southwest Ohio Regional Transit Authority	
		Transit Authority of Northern Kentucky	
	Cleveland Area	The Greater Cleveland Regional Transit Authority	
	Columbus Area	Central Ohio Transit Authority	
	Dayton Area	Greater Dayton Regional Transit Authority	
OR	Eugene Area	Lane Transit District	
	Portland Area	Clark County Public Transportation Benefit Area (C-TRAN)	
		Tri-County Metropolitan Transportation District (Tri-Met)	
PA	Pittsburgh Area	Port Authority Of Allegheny County	

State	Urban Area	Eligible System	Asset on DHS TTAL
PA/D E/ NJ	Philadelphia Area	Delaware River Port Authority (DRPA)	
		Delaware Transit Corporation	
		New Jersey Transit	X
		Pennsylvania Department of Transportation	
		Southeastern Pennsylvania Transportation Authority	X
PR	San Juan Area	Metropolitan Bus Authority	
		Puerto Rico Highway and Transportation Authority (heavy rail)	
RI	Providence Area	Rhode Island Public Transit Authority	
TN	Memphis Area	Memphis Area Transit Authority	
	Nashville Area	Nashville Metropolitan Transit Authority	
TX	Austin Area	Capital Metropolitan Transportation Authority	
	Dallas/Fort Worth/Arlington Area	Dallas Area Rapid Transit (DART)	
		Fort Worth Transportation Authority (The T)	
		Trinity Railway Express (TRE)	
	El Paso Area	Mass Transit Department City of El Paso	
	Houston Area	Metropolitan Transit Authority of Harris County	
San Antonio Area	VIA Metropolitan Transit		
UT	Salt Lake City Area	Utah Transit Authority	
VA	Norfolk Area	Hampton Roads Transit	
	Richmond Area	Greater Richmond Transit Company	
WA	Seattle Area	Central Puget Sound Regional Transit Authority (Sound Transit)	
		King County Department of Transportation	
		Pierce County Public Transportation Benefit Area Corporation (Pierce Transit)	
		Snohomish County Transportation Benefit Area Corporation (Community Transit)	
	Spokane Area	Spokane Transit Authority	
WI	Madison Area	Madison Metro Transit	
	Milwaukee Area	Milwaukee County Transit System	

## B. Governance

### ***National Incident Management System (NIMS) Implementation***

In accordance with HSPD-5, *Management of Domestic Incidents*, the adoption of the NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. The NIMS provides a consistent nationwide template to enable all levels of government, Tribal nations, nongovernmental organizations including voluntary organizations, and private sector partners to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity.

Federal FY 2010 NIMS implementation must be considered prior to allocation of any Federal preparedness awards in FY 2011. Since FY 2007, the National Integration Center (NIC) has advised State, Tribal nation, and local governments to self assess their respective progress relating to NIMS implementation objectives in the NIMS

Compliance Assistance Support Tool (NIMSCAST).<sup>6</sup> The list of objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item2>.

All State, Tribal nation, and local government grantees should update their respective NIMSCAST assessments and, if necessary, submit a Corrective Action Plan via NIMSCAST for FY 2010. Corrective Action Plans are only required if a jurisdiction fails to meet one of the NIMS implementation activities. Comprehensive information concerning NIMS implementation for States, Tribal nations, local governments, nongovernmental organizations, and the private sector is available through the NIC at FEMA's NIMS Resource Center at [www.fema.gov/nims](http://www.fema.gov/nims).

State, Tribal, and local governments should continue to implement NIMS training guidance (course curricula and instructor qualifications) contained in the *Five-Year NIMS Training Plan*, released in February 2008 and any successor guidance released by FEMA. [Note: Coursework and training developed and/or delivered by National Wildfire Coordinating Group (NWCG) meet the course and instructor requirements of the *Five-Year NIMS Training Plan*]. NIMS training guidance is available on FEMA's NIMS Resource Center at [www.fema.gov/emergency/nims/NIMSTrainingCourses](http://www.fema.gov/emergency/nims/NIMSTrainingCourses).

The primary grantee/administrator of FY 2011 TSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

---

<sup>6</sup> As defined in the *Homeland Security Act of 2002* (Public Law 107-296), the term "State" means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States" 6 U.S.C. 101 (14)

PART IV.  
**APPLICATION AND SUBMISSION  
INFORMATION**

**A. Address to Request Application Package**

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at <http://www.grants.gov>. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

**B. Content and Form of Application**

- 1. Application via Grants.gov.** All applicants must file their applications using the Administration’s common electronic “storefront” – <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

The application must be started and submitted using Grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

When applicants apply through <http://www.grants.gov>, the Standard Form 424 in the initial Grants.gov application will need to be submitted. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Because FEMA will need to conduct an initial review of the application prior to the submission deadline of July 5, 2011, grantees are encouraged to initiate and complete the Standard Form 424 submission within Grants.gov by **no later than June 27, 2011**. Upon the completion of the initial review, FEMA will determine whether an application should proceed further and the applicant will be notified to complete their submission by fulfilling additional

application requirements (e.g., budget, Investment Justification, Work Plan, etc.) listed below by **no later than July 5, 2011**.

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact FEMA's Enterprise Service Desk at (888) 457-3362. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. The ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- Investment Justification (OMB 1660-0112/FEMA Form 089-4)
- Budget Detail Worksheet
- RTSS Outline

The program title listed in the CFDA is "*Transit Security Grant Program*." The CFDA number is **97.075**.

2. **Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.
3. **Valid CCR.** The application process also involves an updated and current CCR by the applicant, which must be confirmed at <http://www.ccr.gov>.
4. **Investment Justification (IJ).** As part of the FY 2011 TSGP application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including M&A costs. Applicants may submit up to 15 IJs. Each IJ must demonstrate how a proposed project addresses gaps and deficiencies in current programs and capabilities. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by DHS. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

IJs must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting the IJs as part of the FY 2011 TSGP:

**Investment Justification (through <https://portal.fema.gov>) ensure file attachment;** Region\_Agency\_IJ Number (Example: Chicago\_CTA\_IJ 1)

Applicants must provide information in the following categories for each proposed investment:

- I. Background
- II. Strategic and Program Priorities
- III. Impact
- IV. Funding/Implementation Plan

Applicants will find an IJ Template in Part VI. This worksheet may be used as a guide to assist applicants in the preparation of the IJ.

- 5. Detailed Budget.** The applicant must also provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of M&A costs. A grantee may not obligate, expend, or draw down funds until a budget and budget narrative have been approved by the Grants Management Division.

Applicants must use the following file naming convention when submitting detailed budgets as part of the FY 2011 TSGP:

**Detailed Budget Narrative (through <https://portal.fema.gov>) ensure file attachment;** Region\_Agency\_IJ Number\_Budget (Example: Chicago\_CTA\_IJ 1\_Budget)

Applicants will find a sample Budget Detail Worksheet in *Part VI.B*. This worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. Note: Design and Planning/Engineering costs must be a separate line item and clearly identified as such in order for partial funding to be released prior to EHP review and approval of the project concerned.

- 6. Operational Packages (OPacks).** The applicant electing to pursue OPack funding is required to submit additional documentation and is subject to additional requirements.

For the applicant electing to pursue OPacks, the following must also be submitted:

- A certification statement and supporting documentation from the agency's chief operating official or designee that certifies in writing:
  - The current capability (without Federal funding) for each eligible position (see Part IV. E. for eligible OPack positions)
  - The agency's understanding that funds being used under this provision will only be used either to fill new dedicated full-time OPack positions, or to cover initial overtime costs associated with establishing the OPack position capability approved for FY 2011 TSGP funding by DHS until the new full-time officers are in place
  - The agency's understanding of the limitation on overtime referenced above
  - The agency's understanding that, after the 36-month period of performance, the positions will become the responsibility of the employing agency to sustain. Failure to sustain the level of capability established by the grant will result in disqualification from using future TSGP awards for operational expenses
- A detailed audit process to ensure that supported personnel are involved only in counterterrorism activities as defined per the selected OPack position, and that supported positions are above and beyond pre-grant capabilities. This process must be developed and submitted for review within 60 days of the grant award. The results of these audit activities must be submitted to DHS for review on a semiannual basis.
- A five-year Security Capital and Operational Sustainment Plan. This plan must include how the agency proposes to implement capital projects that will decrease the need for operational activities, and/or demonstrate how the agency will sustain the operational investments after grant funding has been expended. Requests for OPacks will not be funded if the agency does not have a Security Capital and Operational Sustainment Plan.

In addition, awardees must commit to minimum training standards to be set by the Department for all Federally funded security positions.

Below is the necessary certification statement.

*I, [insert name], as the [insert title] of [insert agency name], request funds from the Fiscal Year (FY) 2011 Transit Security Grant Program (TSGP) for operational activities for the [insert region name] region in the amount of [insert dollar amount]. I certify that these operational funds will only be used to fill new dedicated full-time positions related to Operational Packages (OPacks) eligible under the FY 2011 TSGP or to pay for initial overtime costs associated with establishing the OPack position capability approved for FY 2011 TSGP funding by DHS until the new full-time officers are in place. I also confirm [agency name]'s understanding that, after the grant period of performance, positions funded with these operational funds will no longer qualify for Federal funding under this or future TSGP awards. In all cases, the activities paid for by the FY 2011 TSGP funds will result in additional capabilities not previously available and/or paid for by the agency/region. I certify [agency name]'s understanding that failure to sustain the level of capability established by these operational funds beyond the period of performance will result in*

*disqualification of [agency name] from using future TSGP awards for operational activities.*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

7. **SSI Requirements.** Information submitted in the course of applying for funding or reporting under certain programs or provided in the course of an entity's grant management activities under those programs which is under Federal control is subject to protection under SSI, and must be properly identified and marked. SSI is a control designation used by the Department of Homeland Security related to protecting information related to transportation security. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. The applicable information is spelled out in greater detail in 49 CFR 1520.7.

For the purposes of the Transit Security Grant Program, all Investment Justifications shall be considered SSI and treated as such. This means labeling as SSI and password protecting appropriate documents prior to submission. The passwords for protected documents must be sent (separate of the documents) to the following e-mail address [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov). If you have any additional questions please contact CSID at (800) 368-6498, Monday through Friday, 8:00 a.m. – 6:00 p.m. EST.

The subject line of the email should identify:

- Applicant name
- Application number

The body of the e-mail should clearly identify:

- Applicant name
- IJ number and/or summary description
- Urban Area
- POC information

NOTE: A single password should be provided for all SSI documents within the same application.

### **C. Environmental Planning and Historic Preservation (EHP) Compliance**

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For TSGP and other preparedness grant programs, this is accomplished via FEMA's EHP Review.

Grantees must comply with all applicable EHP laws, regulations, and EOs in order to draw down their FY 2011 TSGP grant funds. Any project with the potential to impact natural resources or historic properties cannot be initiated until FEMA has completed the required FEMA EHP review. Grantees that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds.

Not all projects require a FEMA EHP review. For example, the following activities would not require a FEMA EHP review: planning and development of policies or processes; management, administrative or personnel actions; classroom-based training; table top exercises; and, acquisition of mobile and portable equipment (not involving installation). However, any proposed project funded through TSGP that involves the installation of equipment or ground-disturbing activities must undergo the FEMA EHP review process.

Upon receiving notification from your Program Analyst (PA) on the type of EHP documentation needed for the FEMA EHP review, grantees must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-01) and submit it, with all supporting documentation, to the GPD EHP team at [GPDEHPInfo@fema.gov](mailto:GPDEHPInfo@fema.gov). If you have any additional questions please contact CSID at (800) 368-6498, Monday through Friday, 8:00 a.m. – 6:00 p.m. EST. Refer to IBs 329, 345, and 356 (located at <http://www.fema.gov/government/grant/bulletins/index.shtm>) and *Section II, Part I.B.5.5.6* for further details on EHP requirements.

#### **D. Submission Dates and Times**

All submissions will be received by **no later than 11:59 p.m. EDT, July 5, 2011**. Late applications will neither be considered nor reviewed. Only applications started through <http://www.grants.gov> and completed through the ND Grants system located at <https://portal.fema.gov> will be accepted.

## PART V.

# APPLICATION REVIEW INFORMATION

### A. Review Criteria

The completed application must be submitted to DHS via <http://www.grants.gov> **no later than 11:59 p.m. EDT, July 5, 2011.**

Grantees must comply with all administrative requirements described herein — including IJs, budgets, and application process requirements. Having met all administrative requirements, the application will be scored based on a methodology adopted to promote a consistent and accurate evaluation of projects.

Applications requesting funds for operational projects in Funding Priority Areas A and B will be reviewed first, and selections made for award up to the ten percent (10%) allowable operational cap, or \$20M. Per the 9/11 Act, the Secretary of DHS may waive the limitation on operational costs if the Secretary determines that such a waiver is required in the interest of national security, and justified by requests received. Applications requesting funds for remediation of assets on the TTAL in Funding Priority Areas C and D will be considered next. Applications for Other Capital Security Projects in Funding Priority Area E will be reviewed after selections have been made for Funding Priority Areas A – D.

### B. Review and Selection Process

1. **Risk Group Score.** The agency's risk group score (will be provided separately in accordance with proper SSI handling)
2. **Funding Priority Areas.** Projects will be evaluated and prioritized based on the extent to which they align with the Priority Funding Areas (see Tables 1 and 2 on page 8)
3. **Risk Mitigation Score\*.** The potential risk mitigation of the project (as determined by the information provided in the IJ). This score has several possible components, described below, and shown in Table 8.
  - a. **Cost effectiveness.** Projects will be evaluated and prioritized on the expected impact on security relative to the investment
  - b. **Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk, including how "shovel-ready" the request is
  - c. **Sustainability without additional Federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.

- d. **Timelines.** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes, and how quickly the project can be implemented once funding is received
  - e. **BASE Deficiency (for Priority A projects only).** Projects will be evaluated and prioritized on linkages to deficiencies identified their BASE or a comparable vulnerability assessment/security plan
  - f. **TTAL Remediation (for Priority C and D projects only).** Projects will be evaluated and prioritized based on their ability to fully remediate known vulnerabilities of assets on the TTAL
4. **Regional Collaboration.** Where appropriate, projects will be evaluated and prioritized based on the collaboration of agencies within a specified region.

Final project scores will be calculated as follows:

$$\text{Risk Group Score} + \text{Funding Priority Area Score} + \text{Risk Mitigation Score}^* + \text{Regional Collaboration Component}$$

\*As outlined in Table 8, the “risk mitigation” component will have different review factors based on the project type.

**Table 8: Funding Priority Areas Risk Mitigation Score Components**

Priority	Project Types	Risk Mitigation Score Components
A	<b>Operational Activities</b>	<ul style="list-style-type: none"> <li>• Cost effectiveness</li> <li>• Ability to reduce risk of catastrophic events</li> <li>• Sustainability without additional Federal funds/leveraging of other funding</li> <li>• Timelines</li> <li>• BASE Deficiency</li> </ul>
B	<b>OPACK</b>	<ul style="list-style-type: none"> <li>• Cost effectiveness</li> <li>• Ability to reduce risk of catastrophic events</li> <li>• Sustainability without additional Federal funds/leveraging of other funding</li> <li>• Timelines</li> </ul>
C	<b>TTAL Remediation</b>	<ul style="list-style-type: none"> <li>• Cost effectiveness</li> <li>• Ability to reduce risk of catastrophic events</li> <li>• Sustainability without additional Federal funds/leveraging of other funding</li> </ul>
D	<b>TTAL Remediation Plans</b>	<ul style="list-style-type: none"> <li>• Timelines</li> <li>• TTAL Remediation</li> </ul>
E	<b>Other Capital Security Projects</b>	<ul style="list-style-type: none"> <li>• Cost effectiveness</li> <li>• Ability to reduce risk of catastrophic events</li> <li>• Sustainability without additional Federal funds/leveraging of other funding</li> <li>• Timelines</li> </ul>

**Selection Process**

The following process will be used to make awards for the program:

- DHS will verify compliance with each of the administrative and eligibility criteria identified in the application kit
- The Department will calculate a total score to aid with funding selections. The total score will consist of four individual parts: an agency-based risk score, a

score associated with an application's alignment to the funding priority areas, a score based on project risk mitigation, and the degree of regional collaboration.

- Eligible applications will be reviewed by a panel to determine the risk mitigation and regional collaboration scores. This panel will consist of Federal officials from multiple government agencies that will review each application and score it based on the following criteria: cost effectiveness, feasibility, timelines, and sustainability without additional Federal funds.
- FEMA and TSA will make recommendations for funding to the Secretary of Homeland Security based on the funding priorities and scoring methodology

Funds will not be made available for obligation, expenditure, or drawdown until the applicant's budget and budget narrative, as well as EHP (if applicable), have been approved by FEMA.

The applicant must provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within <http://www.grants.gov>. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of M&A costs.

### **C. Anticipated Announcement and Award Dates**

FEMA will evaluate, act on applications, and make awards on or before September 30, 2011.

### **D. Intergovernmental Review**

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>. The names and addresses of the SPOCs are listed on OMB's home page available at [http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc).

# PART VI. OTHER INFORMATION

## A. Investment Justification Template

Investment Heading	
Date	
Applicant	
Region and Urban Area(s) Impacted	
Investment Name	
Investment Amount	\$

### I. Background

*Note: This section only needs to be completed once per application, regardless of the number of investments proposed. The information in this section provides background/context for the investment(s) requested, but does not represent the evaluation criteria used by DHS for rating individual investment proposals.*

I.A. Identify the point(s) of contact for this investment.	
Response Type	Narrative
Response Instructions	Identify the following: <ul style="list-style-type: none"> <li>• Point of contact's (POC) name and title;</li> <li>• POC's full mailing address;</li> <li>• POC's telephone number;</li> <li>• POC's fax number;</li> <li>• POC's email address; and</li> <li>• Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.</li> </ul>
Response:	

I.B. Describe the operating system.	
Response Type	Narrative
Response Instructions	Describe the following: <ul style="list-style-type: none"> <li>• Infrastructure;</li> <li>• Ridership data;</li> <li>• Number of passenger miles;</li> <li>• Number of vehicles and/or vessels;</li> <li>• System map; and</li> <li>• Other sources of funding being leveraged for security enhancements.</li> </ul>
Response	

### II. Strategic and Program Priorities

II.A. Provide an abstract for this investment.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Describe what the project is, how it will be executed, and its purpose.</li> <li>• Define the vision, goals, and objectives for the risk reduction, and summarize how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols);</li> </ul>

	<ul style="list-style-type: none"> <li>• Describe the specific needs and/or resource limitations that need to be addressed;</li> <li>• Identify any potential partners and their roles and staffing requirements, and provide information on any existing agreements such as Memoranda of Understanding (MOU);</li> <li>• Identify specific equipment needs (e.g., number of facility cameras, number of security lights, amount of security fencing, etc.) and other details for training, awareness, exercises, and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed materials, number of agencies and staff members involved in exercise planning, execution, and review);</li> <li>• Describe progress made on the security project this investment will be completing, if applicable; and</li> <li>• Reference use of prior year grant funds, if applicable</li> </ul> <p><i>Note: Ensure that details on purchases within this section match what is outlined in the detailed budget.</i></p>
Response	

II.B. Describe how this investment specifically addresses one or more of the funding priorities identified in the current year grant guidance.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Describe how the investment addresses one or more Funding Priority Areas outlined in this grant guidance.</li> </ul>
Response	

### III. Impact

III.A. Discuss how the implementation of this investment will decrease or mitigate risk. Describe how the project offers the highest risk reduction potential at the least cost. Include output and outcome metrics	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) in a cost effective manner by addressing the needs and priorities identified in earlier analysis and review;</li> <li>• Identify the nature of the risk and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event); and</li> <li>• Outline the expected, high-level impacts this investment is expected to attain or achieve if implemented, and potential negative impacts if the investment is not implemented.</li> </ul>
Response	

### IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Numeric and Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Complete the chart below to identify the amount of funding the grantee is requesting for this investment only;</li> <li>• Funds should be requested and detailed by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration.);</li> <li>• Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and</li> <li>• Applicants must indicate whether additional funding (non-FY 2011 grants)</li> </ul>

	<p>will be leveraged for this investment.</p> <p><i>Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment.</i></p>
Response	

The following template illustrates how grantees should indicate the amount of FY 2011 TSGP funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY 2011 TSGP funds will be utilized:

	Federal Request Total	Other Funding Sources Applied	Grand Total
Planning			
Equipment			
Training			
Exercises			
Operational Packages			
M&A			
Total			

<b>IV.B. Discuss funding resources beyond the current fiscal year grant funding that have been identified and will be leveraged to support the implementation and sustainment of this investment.</b>	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Give the expected total life-span for this investment if fully implemented and sustained through completion;</li> <li>• Discuss other funding sources (e.g., non-Federal grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment;</li> <li>• If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY 2011 TSGP funding is sufficient for the implementation and sustainment of this investment; and</li> <li>• Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.</li> </ul>
Response	

<b>IV.C. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.</b>	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Only include major milestones that are critical to the success of the investment;</li> <li>• While up to 10 milestones may be provided, The grantee should only list as many milestones as necessary;</li> <li>• Milestones are for this discrete investment – those that are covered by the requested FY 2011 TSGP funds and will be completed over the grant period;</li> <li>• Milestones should be kept to high-level, major tasks that will need to occur;</li> <li>• Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone;</li> <li>• Identify the planned completion date when all actions related to the</li> </ul>

	milestone will be completed and overall milestone outcome is met; and <ul style="list-style-type: none"> <li>List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).</li> </ul>
Response	

*Note: After completing the template for each investment, the grantee should review the information provided to ensure accuracy, particularly in the Milestone Dates and the Investment Funding Plan.*

**Investment Justification Submission and File Naming Convention**

Investment Justifications must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting the IJs as part of the FY 2011 TSGP:

**Investment Justification (through <https://portal.fema.gov>) ensure file attachment; Region\_Agency\_IJ Number (Example: Chicago\_CTA\_IJ\_1)**

**B. Sample Budget Detail Worksheet**

The Budget Detail Worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

**Purpose.** The Budget Detail Worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

**A. Personnel.** List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		\$
	<b>Total Personnel</b>	\$

**B. Fringe Benefits.** Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

Name/Position	Computation	Cost
		\$
<b>Total Fringe Benefits</b>		\$

**C. Travel.** Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
				\$
<b>Total Travel</b>				\$

**D. Equipment.** List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than one year. (Note: Organization’s own capitalization policy and threshold amount for classification of equipment may be used). Expendable items should be included either in the “Supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

Item	Computation	Cost
		\$
<b>Total Equipment</b>		\$

**E. Supplies.** List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. (Note: Organization’s own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		\$
<b>Total Supplies</b>		\$

**F. Consultants/Contracts.** Indicate whether applicant’s formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project.

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

Name of Consultant	Service Provided	Computation	Cost
			\$
<b>Subtotal – Consultant Fees</b>			\$

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

Item	Location	Computation	Cost
			\$
<b>Subtotal – Consultant Expenses</b>			\$

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. Any sole source contracts must follow the requirements set forth in 44 CFR Section 13.36.

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

Item	Cost
	\$
<b>Subtotal – Contracts</b>	\$
<b>Total Consultants/Contracts</b>	\$

**G. Other Costs.** List items (e.g., reproduction, security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

**Important Note:** If applicable to the project, construction costs should be included in this section of the Budget Detail Worksheet.

Description	Computation	Cost
		\$
<b>Total Other</b>		\$

**H. Indirect Costs.** Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant’s cognizant Federal agency, which will

review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
		\$
<b>Total Indirect Costs</b>		\$

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

Budget Category	Federal Amount
A. Personnel	\$
B. Fringe Benefits	\$
C. Travel	\$
D. Equipment	\$
E. Supplies	\$
F. Consultants/Contracts	\$
G. Other	\$
H. Indirect Costs	\$
	<b>Total Requested Federal Amount</b>
	\$
	<b>Combined Total Project Costs</b>
	\$

**Detailed Budget Submission and File Naming Convention**

Detailed Budgets must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting detailed budgets as part of the FY 2011 TSGP:

**Detailed Budget (through <https://portal.fema.gov>) ensure file attachment;**  
Region\_Agency\_IJ Number\_Budget (Example: Chicago\_CTA\_IJ \_1\_Budget)

**C. Security Plan Requirements**

The following information regarding security plan requirements are taken from Section 1405(c)(2) from the 9/11 Act.

Security plans should include the following, as appropriate:

- A prioritized list of all items included in the public transportation agency's security assessment that have not yet been addressed
- A detailed list of any additional capital and operational improvements identified by the Department [DHS] or the public transportation agency and a certification

of the public transportation agency's technical capacity for operating and maintaining any security equipment that may be identified in such list

- Specific procedures to be implemented or used by the public transportation agency in response to a terrorist attack, including evacuation and passenger communication plans and appropriate evacuation and communication measures for the elderly and individuals with disabilities
- A coordinated response plan that establishes procedures for appropriate interaction with State and local law enforcement agencies, emergency responders, and Federal officials in order to coordinate security measures and plans for response in the event of a terrorist attack or other major incident;
- A strategy and timeline for conducting training under section 1408 [of the 9/11 Act]
- Plans for providing redundant and other appropriate backup systems necessary to ensure the continued operation of critical elements of the public transportation system in the event of a terrorist attack or other major incident
- Plans for providing service capabilities throughout the system in the event of a terrorist attack or other major incident in the city or region which the public transportation system serves
- Methods to mitigate damage within a public transportation system in case of an attack on the system, including a plan for communication and coordination with emergency responders
- Other actions or procedures as the Secretary [of DHS] determines are appropriate to address the security of the public transportation system

#### **D. Remediation Plan Guide**

##### **Prior Assessments:**

- What type of assessment(s) is being used as a basis to identify the vulnerabilities, and when/where were they conducted? Please list the assessment(s), what entity conducted them (owner/operator, DHS, including approved sub-contractors), and when they were conducted.
- Does the asset have a significant vulnerability per the assessment that could be exploited by a terrorist causing significant loss of life and/or system disruption?
- Did the assessment recommend specific mitigation options to address vulnerabilities? What types of options were presented (e.g., operational, physical security, electronic security, etc.)?

##### **Remediation Plan:**

- Does the remediation plan adequately describe how vulnerabilities were identified?
- Does the remediation plan adequately address all the vulnerabilities as described in the assessment?
- Does the remediation plan call for further resources to be utilized, other than the best estimate developed for the final design component, and are those resources present?

- Is proper documentation for EHP review available? If not completed, is the expected completion date known?
- Are there any other environmental obstacles at the local or State level?
- Does the remediation plan include detailed costs for the mitigation options identified in the assessment?
- Does the remediation plan include detailed timelines for the mitigation options identified in the assessment?

#### **Timelines/Costs:**

- Do the timelines, milestones, and cost estimates appear reasonable given the 48-month period of performance for Capital projects (36 months for Operational) and five-year limitation on grant funds?
- Is the budget for the project consistent and are all variances in cost-drivers taken into consideration?
- Based on prior research/experience, does the remediation plan appear to be efficient?
- Based on prior research/experience, are there other more cost effective mitigation options available?

#### **E. Helpful Hints for Applicants**

Are the following components included in the application package?

- SF 424, SF 424A, SF 424B, SF LLL
- IJs for projects
- Detailed budgets containing only allowable costs

Are the following items addressed within the IJ narratives and detailed budgets?

- Do the IJ and the detailed budget only include allowable costs?
  - Are all of the expenses in the detailed budget addressed in the IJ narrative? (for example, a camera equipment budget line item should be addressed in narrative form in the IJ as it pertains to the overall security program)
  - Does the information in the detailed budget align with the budget summary in the IJ narrative?
  - Are planning and design costs to include remediation planning clearly delineated in the budget, as separate from implementation/installation costs? (Planning and design costs may be released before implementation/installation costs, as planning and design costs do not require extensive EHP review.)
- Does the IJ clearly explain how the projects fit into a funding priority area (as identified in *Part I*)?
- Does the IJ discuss how this investment will decrease or mitigate risk?
- Is the cost effectiveness of the project clearly explained in the IJ? How does this project provide a high security return on investment?

- Does the IJ discuss how/if the project is “shovel-ready”?
- How does the project reflect security discussions and mitigation strategies discussed by the RTSWG?
- Are timelines realistic and detailed?
- Are possible hurdles addressed in a clear and concise fashion?
- Does the M&A total no more than five percent (5%) of the total request?