



FEMA

GRANT PROGRAMS DIRECTORATE

Fiscal Year 2012 Transit Security Grant Program (TSGP) Guidance Workshop

Orlando, Florida
March 13, 2012

Phoenix, Arizona
March 15, 2012



TSGP Roll Out Workshops

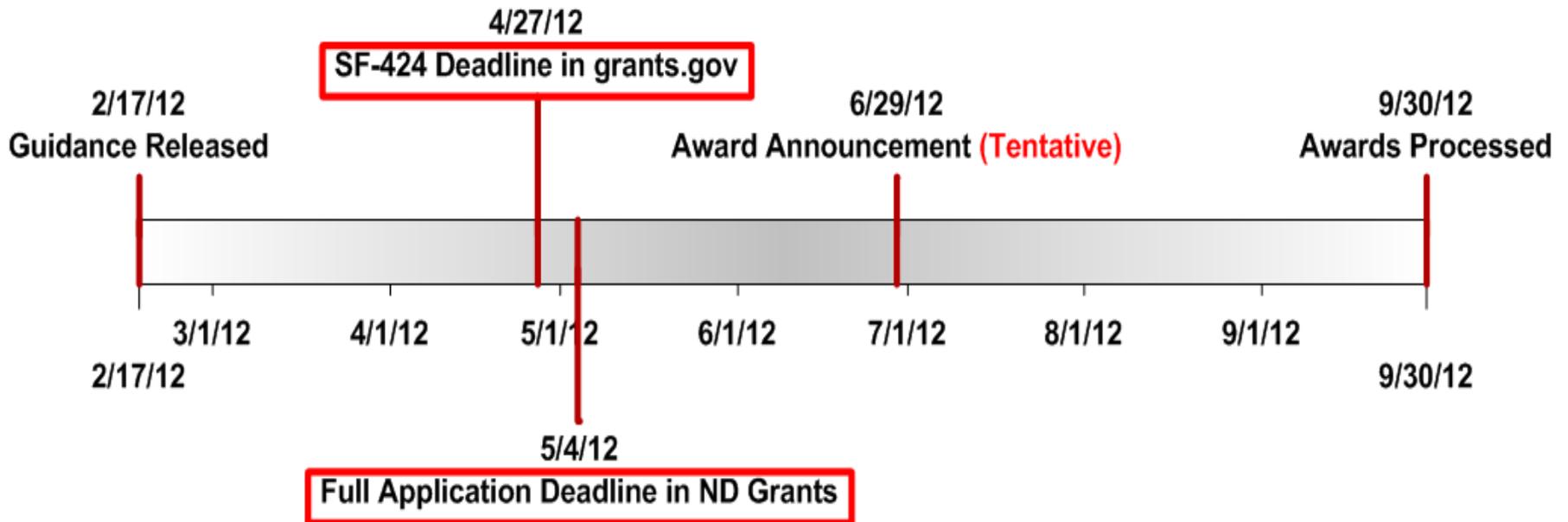
- March 13, 2012 - Orlando, FL LYNX Central Station
- March 15, 2012 - Phoenix, AZ City of Phoenix Public
Transportation Department

Teleconference: 1:00 p.m. EST, Tuesday, March 20, 2012
1-800-320-4330 PIN# 000142

AGENDA

- Welcome: Opening Remarks
- Overview of FY 2012 Transit Security Grant Program
- Funding Priorities, Scoring Methodology, Review Criteria
- Investment Justification (IJ), Budget, and Environmental/Historical Preservation (EHP) Requirements
- Q & A
- Closing Remarks: Break for Lunch

FY 2012 TIMELINE



FUNDING OVERVIEW

- **FY2012 Consolidated Authorization Act, 2012 (Public Law 112-74)**

- Transit Security Grant Program \$87,500,000

- Intercity Passenger Rail (Amtrak) \$10,000,000

Total: \$97,500,000

- Funding to transit agencies directly. SAA and law enforcement providers may act as subgrantees.

2012 TSGP KEY CHANGES

- Reformatted TSGP Guidance and Application Kit — renamed DHS Funding Opportunity Announcement (FOA)
- Period of Performance - 24 month Period Of Performance (POP) for all projects
- Risk Model Update – now aligns with risk models used by other FEMA GPD Programs, PSGP, HSGP, and UASI
- Top Transit Asset List (TTAL) remediation plans are no longer a funding priority
 - Focus on “shovel-ready” TTAL remediation projects that can be completed within 24 month POP
- Alignment with Presidential Policy Directive 8 (PPD-8) by supporting select core capabilities as outlined in the National Preparedness Goal (NPG)
- Each agency may submit up to 8 IJ's
- Maintenance and Sustainment (M&S) Costs
 - Expanded scope to allow for the support of equipment that has previously been purchased with both Federal and non-Federal funding as long as costs are allowable under the grant, and direct linkage can be made to one of the NPG core capabilities.
 - OPack sustainment is also an allowable cost.

FY 2012 TSGP ELIGIBILITY

- The transit agency is the only grantee under TSGP; funding does not go through the SAA.
- Eligible transit agencies remain the same as FY 2011, please refer to the FOA for full list of eligible transit agencies.
- Law Enforcement agencies are eligible as subgrantees of transit agencies for which security services are provided.

2012 TSGP KEY ELEMENTS

- **Wholly competitive** — no regional allocations, no tier assignments
- **TSGP Investment Justifications (IJ's)** are considered Sensitive Security Information (SSI) and require appropriate labeling and password protection
 - Submit IJs in encrypted form with your application to ND Grants
 - Send password separately by email to ASKCSID@dhs.gov (one password per application)
 - Subject line should identify the applicant and application number. Body of email should identify the applicant name, IJ number and/or summary description, region or urban area, and point of contact information
- **Top Transit Asset List (TTAL)** — identified list of critical infrastructure of national concern



2012 TSGP KEY ELEMENTS

▪ **Vulnerability Assessment / Security Plan**

- Required to have security assessment updated within the last three years, specify type and date of last assessment/security plan on background information of the IJ submission
- Grant funds must be used to address items in the security assessment or security plan.
- Each RTSWG is required to develop and must update its Regional Transit Security Strategy (RTSS) at least every three years.

▪ **Operational Packages (OPacks)** — Agencies with 50 or more FTE sworn officers may submit projects to fund new-capability transit security police force/law enforcement providers for directed patrols, canine teams, mobile screening and/or anti-terrorism teams, including overtime towards surge activities.

▪ **10% cap on operational activities** — training, drills & exercises, public awareness campaigns, development of security plans and vulnerability assessments, and OPacks.

- Section 1406 of the 9/11 Act limits Operational Activities to 10% of total TSGP program funding. FEMA Administrator may waive this limitation under certain conditions.

2012 TSGP FUNDING PRIORITIES

- \$87,500,000 is available under the FY 2012 TSGP. Funding will be prioritized as follows
 - **Priority A Operational Activities**
 - Training, Drills and Exercises, Public Awareness, and Security Planning (development of Vulnerability Assessments and Security Plans).
 - **Priority B “Shovel-Ready” Capital Projects for TTAL Remediation**
 - Hardening of TTAL assets owned by the transit agency in which there is a complete remediation plan including Environment and Historic Preservation (EHP) documentation and/or are in progress or considered “shovel-ready.”
 - **Priority C Operational Packages**
 - Explosives Detection Canine Teams, Mobile Explosive Detection Screening Teams, Anti-Terrorism Teams, and Directed Patrols on Overtime, including sustainment.
 - **Priority D Other Security Projects**
 - All other Capital Projects not included in the above priorities, with emphasis on shovel-ready projects.

TSGP UNALLOWABLE COSTS

- Personnel costs – except as specifically detailed in FY 2012 TSGP FOA
- Weapons, and ammunition
- Other items not in accordance with the AEL or previously listed as an allowable cost
- Activities unrelated to the implementation and/or completion of an approved TSGP project

TSGP APPLICATION REQUIREMENTS

- Mandatory Application Forms include:
 - Standard Form 424, Application for Federal Assistance
 - Standard Form 424A, Budget Information
 - Standard Form 424B, Assurances (non-construction)
 - Standard Form LLL, Disclosure of Lobbying Activities
 - Any additional required attachments
 - Investment Justification
 - Detailed Budget

TSGP APPLICATION PROCESS

- FEMA's ND Grants supports grant application through award package creation/acceptance, administrative amendments, and performance reports
 - Future releases will address award closeouts, sub-grantee functions, and financial payments
- ND Grants registration at <https://portal.fema.gov>.
- Application forms and instructions are available at <http://www.grants.gov>.
 - Confirm Central Contractor Registration (CCR) and Dun & Bradstreet Data Universal Numbering System (DUNS) identified as part of the application process.
- CFDA number is **97.075 – Rail and Transit Security Grant Program**

ND GRANTS QUESTIONS

ND GRANTS SERVICE LINE: 1-800-865-4076

ND GRANTS EMAIL ADDRESS:

NDGrants@fema.gov

IJ OVERVIEW & WRITING TIPS

- Investment Header
 - Date: Application Due Date – 05/04/2012
 - Applicant: Legal name of the eligible transit agency
 - Region and Urban Area(s) Impacted: UASI Region
 - Investment Name: Descriptive name for the IJ (do not list as “IJ #1”)
 - Investment Amount: List only the FEDERAL request amount

- Section 1: Background
 - 1.A. Points of Contact
 - Include contact information for the agencies POC and Single Authorized Representative (signing authority for grant award)
 - 1.B. Describe the Operating System
 - Infrastructure
 - Ridership Data
 - # of Passenger Miles
 - # of Vehicles
 - System Map
 - Other funding leveraged for security
 - Relevant or important information for panelists to know about your system



IJ OVERVIEW & WRITING TIPS

- Section 2: Strategic and Program Priorities

- 2.A. Provide an abstract for this investment

- Provide specific details on the project – Do not simply put, the project is classified!
 - Ensure any acronyms or technical references are clearly defined
 - Highlight how the investment builds or sustains one or more NPG core capabilities
 - Describe items and activities, e.g., what is being purchased, specifications, and quantity
 - Is this a multi-phased project, funded from multiple fiscal years/funding sources
 - Include if any partnerships or MOU's are necessary for success and if they are in place or not
 - Describe the support necessary (e.g., CCTV – real time monitoring / protocols for activated alarms on access control items, etc.)
 - IF M&S, indicate if it was previously funded via TSGP. If so include the project title and FY in which it was funded, as well as the TSGP funding amount and total cost if different from award

- 2.B. Describe how this investment specifically addresses one or more funding priorities identified in the current year FOA

- Explain how it aligns to the funding priorities
 - Only needs to align to 1 priority, extra points will not be awarded for multiple areas



IJ OVERVIEW & WRITING TIPS

- Section 3: Impact

- 3.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.
 - The guiding principle in TSGP is reduction of TERRORISM RISK
 - Focus on Anti-Terrorism impact
 - Ensure the explanation provided is specific to the investment
 - Explain the risk reduction that will be gained through the completion of the investment in the context of the pre-attack planning, an actual attack occurring, or response to an attack, and how it would be different if this investment was not funded

- Section 4: Funding & Implementation Plan

- 4.A. Investment Funding Plan
 - Summary only – a separate detailed budget must still be completed and submitted
 - Describe costs categories, investment may only have 1 or 2 cost categories
 - M&A is limited to 5% of total federal request and must be outlined as a separate item

IJ OVERVIEW & WRITING TIPS

- 4.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
 - Detail any cost shares, in-house resources, or agency plans to provide its own funding/resources for successful implementation, maintenance, and/or sustainment
 - While a cost share is not required, a match demonstrates commitment by the agency, and may be given consideration in the scoring process. Clearly explain “in-kind” matches
 - If no additional funding is required, explain why
- 4.C. Provide a high-level timeline, milestones and dates, for the implementation of this investment
 - Specific to the requested investment
 - Include milestones to indicate how the project will move toward completion within the POP
 - Ensure the timeline does not extend past the POP
 - Indicate whether tasks are concurrent or sequential
 - Okay to indicate months rather than actual dates
 - Additional attachments are acceptable, but not required, to help explain or provide context for the investment



SCORING METHODOLOGY

All applications will be scored according to the following formula, consisting of 4 parts:

Risk Group Score + **Funding Priority Area** + **Risk Mitigation Score** + **Regional Collaboration**

Risk Group Score: range from 10-1 and are a function of agency and regional risk

Funding Priority Area: range from 7-1

Risk Mitigation Score: evaluated based on the components below and will vary depending on project type. The sum of the components is averaged to derive the final Risk Mitigation Score.

- Cost effectiveness (All Priorities)
- Feasibility: Ability to reduce catastrophic events when implemented as designed (All Priorities)
- Timelines (All Priorities)
- Sustainability without additional Federal funds and leveraging of other funding (All Priorities)
- BASE Review Alignment (Priority A only)
- Effectiveness in Remediating TTAL Assets (Priority B only)

Regional Collaboration if applicants show coordination with regional entities above and beyond what is normally expected

FY 2012 FUNDING PRIORITY AREA SCORES

Funding Priority Area	Funding Priority Area Score	Project Description
A	7	Operational Activities: Training, Drills and Exercises, Public Awareness, Security Planning
B	6	TTAL Remediation: for assets that have complete remediation plans
C	5	Operational Packages: Canine Teams, Mobile Screening Teams, Anti-Terrorism Teams, and directed patrols on overtime.
D	4	Multi-User High-Density Key Infrastructure Protection: Tunnel Hardening, High-Density Elevated Operations, Multi-User High-Density Station, Hardening of SCADA
	3	Single-user High-density Key Infrastructure Protection: Anti-terrorism security for stations and bridges
	2	Key Operating Asset Protection: Physical Hardening, Secure stored/parked trains, engines, buses
	1	Other Mitigation Activities: Interoperable Communications, Anti-Terrorism security enhancements, including all Other capital use of funds as outlined in Section 1406(b)(1) of the 9/11 Act

OPERATIONAL ACTIVITIES – PRIORITY

A

- Funding Priority Area Score: 7
- Priority will be given based on deficiencies identified in BASE or other appropriate assessments and security plans. These projects include
 - Training
 - Drills and Exercises
 - Public Awareness
 - Security Planning
- Operational activity projects will be scored based on the following risk mitigation components
 - Cost effectiveness
 - Feasibility to reduce risk of catastrophic events
 - Sustainability without additional Federal funding/leveraging of other funding
 - Timelines
 - BASE Review Alignment



CAPITAL TTAL REMEDIATION - PRIORITY B

- Funding Priority Area Score: 6
- TTAL remediation projects will be scored based on the following risk mitigation components
 - Cost effectiveness
 - Feasibility to reduce risk of catastrophic events
 - Sustainability without additional Federal funding/leveraging of other funding
 - Timelines
 - Effectiveness in Remediating TTAL Assets
- If an agency has an asset they would like to be considered for inclusion on the TTAL, the submission request should be sent to TSA at the Office of Security Policy and Industry Engagement (OSPIE) Mass Transit and Passenger Rail Security Division via TSAGrants@tsa.dhs.gov.



OPERATIONAL PACKAGES – PRIORITY **C**

- Funding Priority Area Score: 5
- OPack projects will be scored based on the following risk mitigation components
 - Cost effectiveness
 - Feasibility to reduce risk of catastrophic events
 - Sustainability without additional Federal funding/leveraging of other funding
 - Timelines

OTHER SECURITY PROJECTS – PRIORITY

- Funding Priority Area Score: 4-1
- Priority D projects will also be scored based on the following risk mitigation components
 - Cost effectiveness
 - Feasibility to reduce risk of catastrophic events
 - Sustainability without additional Federal funding/leveraging of other funding
 - Timelines

RISK MITIGATION SCORE

- Risk Mitigation is evaluated by a National Review Panel (NRP) of subject matter experts
- The NRP assigns scores for each of the below components, as appropriate
 - **Cost Effectiveness:** range from 0-15
 - **Feasibility:** range from 0-15
 - **Timelines:** range from 0-5
 - **Sustainability:** range from 0-5
 - **BASE Review:** range from 0-15
 - **TTAL Alignment:** range from 0-15
- The NRP may also elect to award additional points for Regional Collaboration (0-2)



SCORING EXAMPLE ONE

Nomad Transit requests \$280,000 to conduct front line staff training and exercises. The NRP reviews the IJ and scores it as follows

- **Risk Group Score: 5** (Nomad Transit)
- **Funding Priority Area Score: 7** (Operational Activities)
- **Risk Mitigation Score (Total Average): 41/5 =8.2**
 - **Cost effectiveness: 10** (Only one lump sum budget given, no breakdown of overtime/backfill costs per employee/employee type, but lump sum budget number appears reasonable given total # of employees and length of course)
 - **Feasibility: 8** (No detail as to what types of employees will be trained, or the other participant groups in the exercises)
 - **Timelines: 4** (Doable; plans to have all training and exercises conducted quarterly, but does not account for if employees cannot make scheduled class)
 - **Sustainability: 5** (Low long-term maintenance and sustainment costs; stated training and exercises will be included in future capital budget)
 - **BASE: 14** (BASE Review noted training and exercises as areas of concern)
- **Regional Collaboration: 0** (Courses are for the requesting agency only; unclear of other potential participants in exercises)

The overall score for this IJ would be: $5 + 7 + 8.2$ (avg.) $+ 0 = 20.2$



SCORING EXAMPLE TWO

Northern Transit requests \$1,500,000 to purchase intrusion detection technology and live monitored CCTV with video analytics to complete remediation for a critical asset on the TTAL. The NRP reviews the IJ and scores it as follows

- **Risk Group Score: 9** (Northern Transit)
- **Funding Priority Area Score: 6** (TTAL Remediation)
- **Risk Mitigation Score (Total Average): $47/5 = 9.4$**
 - **Cost effectiveness: 13** (Provided excellent detail: will install approximately 225 Fixed and PTZ cameras with supporting hardware and analytics software, 55 access card readers and supporting software, and portal protection. Includes procurement & installation of cameras, and readers, servers, and associated components, and 2 year warranty)
 - **Feasibility: 13** (Contractual agreements are in place to proceed with the installation)
 - **Timelines: 5** (Remediation plan and EHP are complete and the project can be completed within POP)
 - **Sustainability: 3** (Medium long-term maintenance and sustainment costs; stated this project will be sustained with local operating funds past the grant-funded warranty period)
 - **TTAL: 13** (Project will remediate the known vulnerabilities of the asset, based on vulnerability assessments included in remediation plan)
- **Regional Collaboration: 0** (For the requesting agency only)

The overall score for this IJ would be: $9 + 6 + 9.4 \text{ (avg.)} + 0 = 24.4$



SCORING EXAMPLE THREE

Zeta Transit requests \$500,000 for two K-9 OPack teams consisting of 1 sergeant, 2 police officers and 2 K-9s. The NRP reviews the IJ and scores it as follows

- **Risk Group Score: 3** (Zeta Transit)
- **Funding Priority Area Score: 5** (OPacks)
- **Risk Mitigation Score (Total Average): $36/4 = 9$**
 - **Cost effectiveness: 15** (Costs are less than average/less than the maximum allowance per the grant guidance, and budget transparency itemized to the smallest detail)
 - **Feasibility: 13** (All critical assets will be routinely covered, as well adjustments made for highly attended public events)
 - **Timelines: 5** (The teams will be assigned Monday through Friday, early morning shift and early evening shift, providing law enforcement response to the most critical asset locations)
 - **Sustainability: 3** (Medium long-term maintenance and sustainment costs; stated would be incorporated into capital budget)
- **Regional Collaboration: 1** (Have started planning coordination with local first responders, but more work needs to be done)

The overall score for this IJ would be: $3 + 5 + 9$ (avg.) $+ 1 = 18$



SCORING EXAMPLE FOUR

Moncrieff Transit requests \$100,000 for interoperable communications – handheld radios. The NRP reviews the IJ and scores it as follows

- **Risk Group Score: 6** (Moncrieff Transit)
- **Funding Priority Area Score: 1** (Other Security Project - Other mitigation activities)
- **Risk Mitigation Score (Total Average): $36/4 = 9$**
 - **Cost effectiveness: 13** (200 handheld radios that operate on 150 MHz, 450 MHz, 700 MHz, and 800MHz)
 - **Feasibility: 13** (Discussions between City departments (PD, FD, DPW, Emergency Services, etc.) have been ongoing concerning ways to provide interoperable communications between the City departments that would respond to a terrorist incident)
 - **Timelines: 5** (Radios and all necessary paraphernalia are over the counter items and may be purchased and put into use immediately)
 - **Sustainability: 5** (Low long-term maintenance and sustainment costs; stated would be incorporated into capital budget)
- **Regional Collaboration: 1.5** (Coordinating with all other local responders to ensure their communications will be interoperable in any event)

The overall score for this IJ would be: $6 + 1 + 9$ (avg.) $+ 1.5 = 17.5$



SAMPLE FUNDING DECISIONS

The overall score rankings would be as follows

Agency	Project Type	Requested Funding	Score
Nomad Transit	Training	\$280,000	20.2
Northern Transit	TTAL Intrusion Detection & CCTV	\$1,500,000	24.4
Zeta Transit	OPack K9 Teams	\$500,000	18.0
Moncrieff Transit	Interoperable Communications – Radios	\$100,000	17.5
	Total	\$2,380,000	

If \$2,300,000 were available to distribute, then the Nomad Transit training, Northern Transit TTAL Intrusion Detection as well as the Zeta Transit projects would be funded (total of \$2,280,000). The Executive Committee would decide whether to partially fund the Moncrieff Transit Interoperable Communications IJ at \$20,000 (depending on project scalability), or fund a project with a lesser request.

ENVIRONMENTAL & HISTORIC PRESERVATION REVIEW

- FEMA certifies that grant funded projects are in compliance with the National Environmental Policy Act, applicable laws, and Executive Orders
- Analysis and documentation of relevant project information
- Complex projects will typically require more information and analysis to reach a determination
- Must be approved before projects are initiated
- Noncompliance could result in deobligation of funding, civil penalties, and law suits
- Three project Category Types
 - Category A Projects
 - No potential environmental / historic impacts (Opacks, Training, Public Awareness)
 - Category B Projects
 - No potential impacts if certain conditions apply (equipment installation on structure less than 50 years old)
 - Category C Projects
 - New construction, Renovation, equipment installation on structures 50+ years old
 - Additional documentation would be required for EHP Clearance Memo

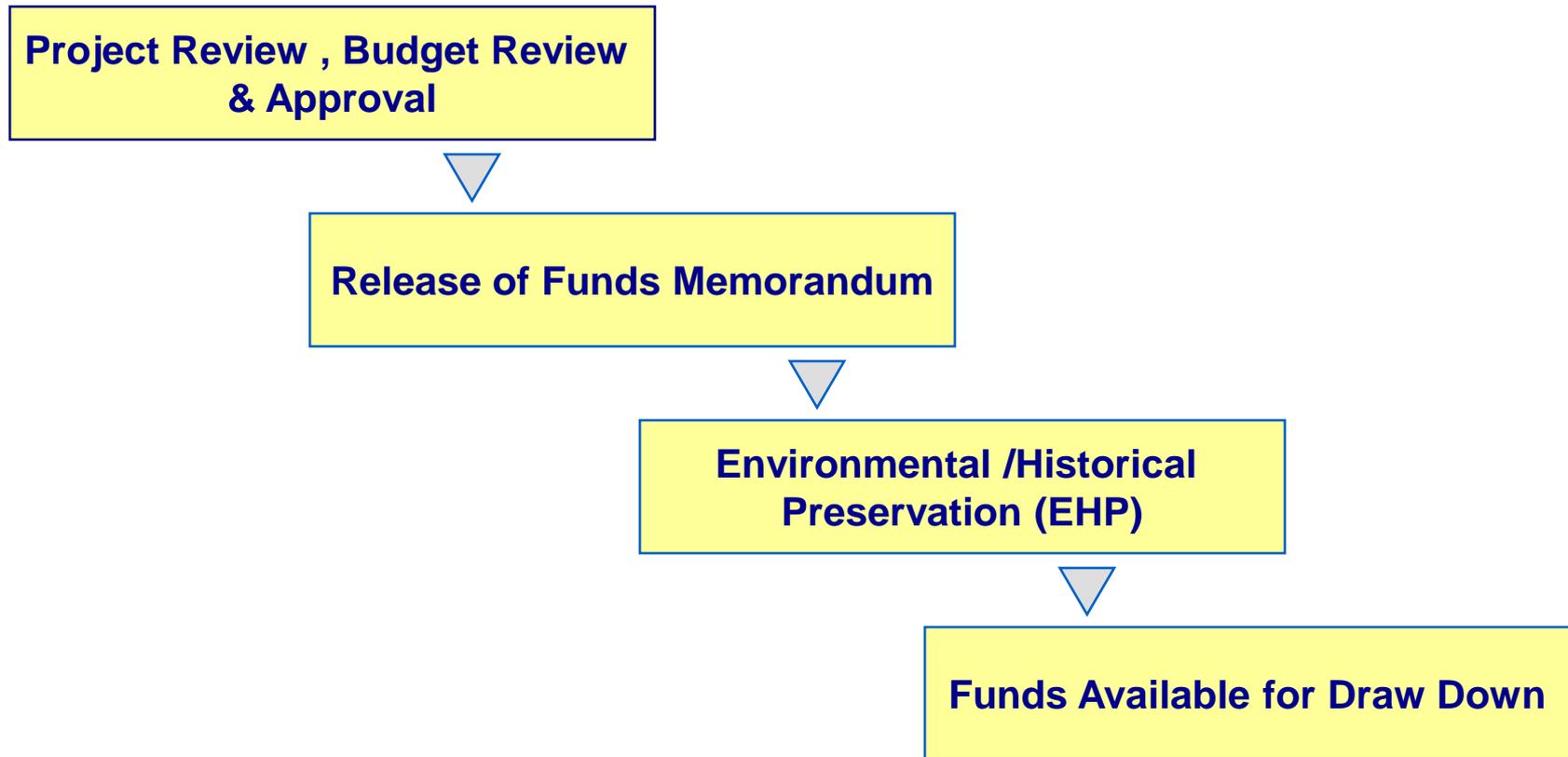


GPD EHP REVIEW CONSIDERATIONS

- Grantees are responsible for completing the EHP Screening Memo
- Grantees are responsible for providing all relevant EHP materials to GPD
- Grant funds may be used for preparation of EHP documentation
- FEMA is responsible for consultation with State Historic Preservation Office (SHPO), the U.S. Fish and Wildlife Service (FWS), etc.

- EHP Information needed
 - Completed EHP Screening Memo
 - Detailed project description: What, Where, and How
 - Physical Address of structure/facility or lat/long
 - Clear color photographs (aerial and ground of area affected with appropriate labeling)
 - Dimensions/acreage/square footage of structure/land area affected
 - Extent and depth of ground disturbance for: new construction, renovations, laying of utility lines, and installation of fences/light posts/cameras etc.

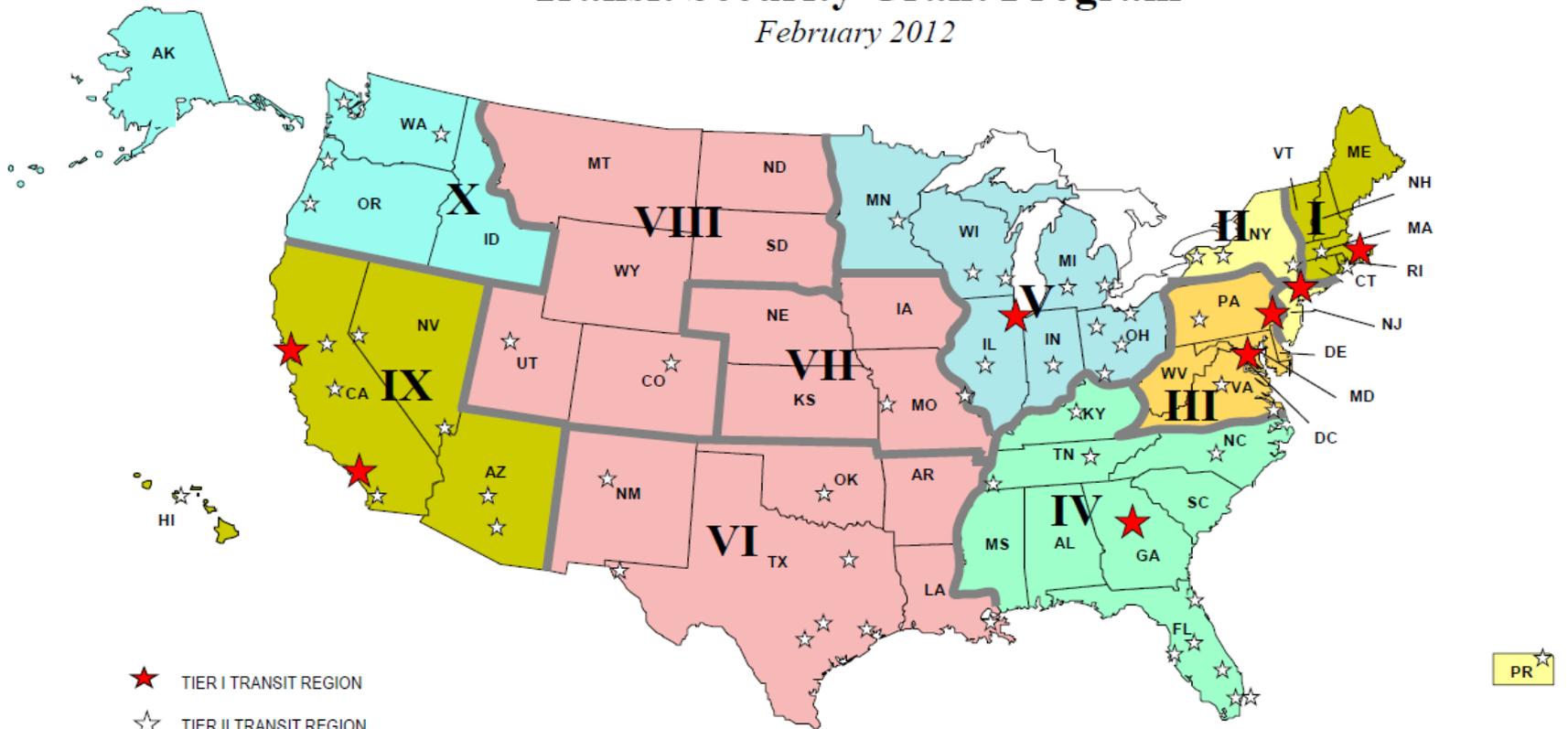
FY 2012 TSGP POST AWARD PROCESSING



Grant Programs Directorate State Assignments

Transit Security Grant Program

February 2012



- ★ TIER I TRANSIT REGION
- ☆ TIER II TRANSIT REGION

PR ☆

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202.786-9622

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FEMA's GPD REFERENCE LIST

Program Contacts and Resources	
FEMA Websites:	www.fema.gov/grants askcsid@dhs.gov 1-800-368-6498
	https://portal.fema.gov
General Questions:	askcsid@dhs.gov
Grants.gov Website:	www.grants.gov 1-800-518-4726
ND Grants	NDGrants@fema.gov 1-800-865-4076



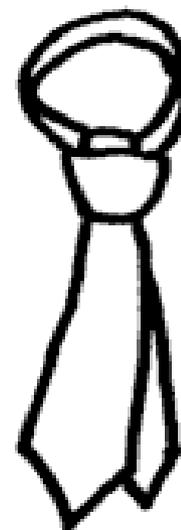
QUESTIONS?

HOW TO TIE A TIE

①



②



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