



**Fiscal Year 2009
American Recovery and Reinvestment Act
Transit Security Grant Program**

May 2009



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**Overview and Key Changes from the FY 2009
TSGP**



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Key Changes were Implemented in FY 2009 ARRA TSGP

- Driven by Congressional mandates:
 - 9/11 Act
 - Public Law (P.L.) 111-5 - American Recovery and Reinvestment Act of 2009 (ARRA)
- ARRA TSGP will focus on three recovery priorities:
 - Job Creation and/or preservation
 - Quick Implementation
 - Transparent and Justifiable Funding through a Competitive Grant Program
 - Regional and Tier allocations have been removed

ARRA TSGP Overview and Changes from the FY 2009 TSGP

Change	Description
Funding	<ul style="list-style-type: none">• \$150,000,000 for Public Transportation Security Assistance and Railroad Security Assistance• Of the \$150M up to \$100M can be on operational packages (OPacks); at least \$50M must be spent on capital projects due to operational cost restrictions in the 9/11 Act.
Eligible Projects	<ul style="list-style-type: none">• Priority 1a: OPacks<ul style="list-style-type: none">• K-9 Teams• Mobile Screening Teams• Anti-Terrorism Teams (ATTs) (Formerly known as VIPR Teams)• Priority 1b: Support and Equipment for OPacks• Priority 2: Shovel Ready Projects for Asset Hardening• Priority 3: Other Capital Security Projects
Performance Measures	The ARRA TSGP requires that a comprehensive set of performance measures be recorded as part of receiving ARRA funding.
Removal of Target Funding Allocations	The ARRA TSGP will be competitive; therefore there are no target funding allocations by region or by Tier.

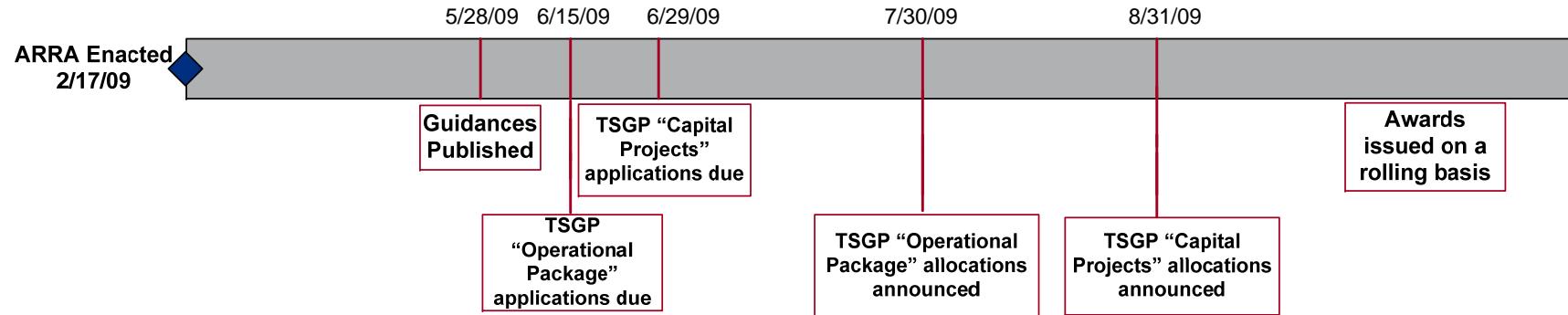
ARRA TSGP Overview and Changes from the FY 2009 TSGP

Change	Description
Competitive Program	<ul style="list-style-type: none">• The ARRA TSGP will be competitive.• There are no funding Tiers for the program; all eligible transit agencies will compete against one another for funding.• As a competitive program, all questions must be submitted and responded to formally, either by email to tsagrants@tsa.dhs.gov or askcsid@dhs.gov or on the conference calls that will be held 3 times a week through the application period. Answers will be posted online for the benefit of all applicants. Federal employees cannot answer ARRA questions in private conversations.
Eligibility	<ul style="list-style-type: none">• The transit agency is the only direct grantee; funding will not go through the SAA.• AMTRAK is also an eligible applicant.• Certain Law Enforcement agencies are eligible as sub-grantees of transit agencies for which they are the primary security providers, for OPacks only.
Eligibility for OPacks	<ul style="list-style-type: none">• Dedicated transit police force of at least 100 officers (must certify the level is 100 or more as of January 1, 2009.)• Can only increase force by 5%• Any transit system that meets the above requirements is eligible for OPacks under the ARRA TSGP

ARRA TSGP Overview and Changes from the FY 2009 TSGP

Change	Description
Federal Cost Share Requirements	<ul style="list-style-type: none">• There is no cost share requirement for the ARRA TSGP.
Security Plans	<ul style="list-style-type: none">• Transit agencies are required to have either undergone a vulnerability assessment conducted by DHS or developed and/or updated their security plan within the last three years.• Grant funds must be used to address items in the vulnerability assessment or security plan.
Application Due Dates	<ul style="list-style-type: none">• Applications for Operational Packages must be submitted no later than 11:59 PM EST, June 5, 2009.• Completed applications for Capital Projects must be submitted no later than 11:59 PM EST, June 22, 2009.• Agencies applying for both programs MUST submit separate applications by the respective deadlines under the appropriate Funding Opportunity Number.

ARRA TSGP Timeline





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Funding Priorities**



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ARRA Priorities

- Job Creation and Preservation of Existing Jobs
 - OPacks create new job positions
 - Construction projects maintain current employment levels or create new jobs
- Quick Implementation
 - Streamline, pre-approved OPack costs allows for fast review and approval of application submission
 - Priority is given to projects that can be implemented quickly and have an immediate impact on reducing the most risk
- Competitive processes
 - The ARRA requires a full and open competitive process
 - There are no Tiers or target funding allocations

Project Groupings are Prioritized by Job Creation and Preservation

- 1a. OPacks
- 1b. Support and Equipment for OPacks
- 2. Shovel Ready Capital Projects for Asset Hardening
- 3. Other Captial Security Projects

Project Group 1a: Operational Packages

- Hiring of transit law enforcement officers to enhance visible, unpredictable deterrence efforts in transit (e.g., K-9 teams, mobile screening teams, and Anti-terrorism teams (ATT).
 - The ATT is made up of three components: A K-9 team (handler and an explosive detection canine), an overt uniformed officer, and a covert behavior detection officer (BDO). (ATTs have formerly been called VIPR Teams.)

Project Group 1b: Support and Equipment for Operational Packages

- Related support and equipment costs for new officers/capability are allowable

Project Group 2: Shovel Ready Capital Projects for Asset Hardening

- Capital Projects including:
 - Multi-User High-Density Key Infrastructure Protection,
 - Single-User High-Density Key Infrastructure Protection,
 - Key Operating Asset Protection, and
 - Other Mitigation Activities
- Must certify can begin within 90 days of release of funds and will be completed within 24 months from the release of funds date.
- Failure to meet the 90 day requirement may result in a loss of ARRA TSGP funding for the specific project.
- Environmental and Historical Preservation (EHP) documentation must be submitted with the application package to demonstrate the project is shovel ready and design has been completed

Project Group 3: Other Capital Security Projects

- Capital Projects including
 - Multi-User High-Density Key Infrastructure Protection,
 - Single-User High-Density Key Infrastructure Protection,
 - Key Operating Asset Protection, and
 - Other Mitigation Activities
- All of the same projects are eligible in Group 3 as in Group 2, but the defining difference is that Group 3 projects are not considered “shovel-ready” but can be completed within the 36 month period of performance starting from when the award is made and including the federal review phase.



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Review Criteria and Scoring Methodology



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Funding Priorities

1. Applications for Operational Packages will be given priority and reviewed first, and selections made for award up to \$100,000,000.
 - a) If the award level for OPacks is less than \$100M, the remaining funding will be considered for project groups 2 and 3
2. Applications requesting funds for Shovel Ready Capital Projects for Asset Hardening will be given second priority.
3. Applications requesting funds for Other Capital Security Projects will be reviewed after selections have been made for Operational Packages and Shovel Ready Capital Projects for Asset Hardening.

Evaluation Process for OPacks

- DHS will verify compliance with each of the administrative and eligibility criteria. (e.g. is the certification or sworn level submitted? is the security plan certification form submitted?)
- Eligible applications will be reviewed to determine the appropriateness and successful completion of the detailed budget form. (Is the budget request filled out correctly, per the instructions in the guidance?)
- If the operational requests exceed the amount of funding available, requests will be prioritized based on the agency's risk score.

Evaluation Process for Shovel Ready Capital Projects for Asset Hardening

- DHS will verify compliance with each of the administrative and eligibility criteria. (e.g. presence of EHP information demonstrating shovel ready capability?)
- Eligible applications will be reviewed to determine the appropriateness and successful completion of the investment justification and detailed budget form. **Only** applicants that certify their Shovel Ready Status will be considered for funding under Project Group 2.
- If the requests for Shovel Ready Capital Projects exceed the amount of funding available, requests will be prioritized based on the agency's risk score.

Evaluation Process for Other Capital Security Projects

- DHS will verify compliance with each of the administrative and eligibility criteria identified in the application kit.
- Eligible applications will be reviewed to determine the appropriateness and successful completion of the investment justification and detailed budget form.
- The projects will be reviewed by a National Review Panel and scored as described in the next slide.

Scoring Methodology for Other Capital Security Projects

- Total Project Score =
$$(\text{Risk Score} \times \text{Project Effectiveness Score}) + \text{Risk Mitigation Score} + \text{Regional Collaboration}$$
- Risk scores range from 1-6 and are a function of the agency's risk and regional risk
 - Effectiveness scores range from 1-4 and reflect the four project groups discussed in the next slide
 - Risk Mitigation is evaluated based on:
 - » Cost effectiveness
 - » Feasibility
 - » Timelines
 - » Sustainability
 - Regional Collaboration consideration given if applicants show coordination with regional entities above and beyond what is normally expected

Project Effectiveness Groups for Other Capital Security Projects

Project Effectiveness Group Score	Project Effectiveness 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"> • Tunnel Hardening • High-Density Elevated Operations • Multi-User High-Density Stations • Hardening of SCADA systems
3	Single-User High-Density Key Infrastructure Protection	<ul style="list-style-type: none"> • Anti-terrorism security enhancement measures for: <ul style="list-style-type: none"> ◦ High-Density Stations ◦ High-Density Bridges
2	Key Operating Asset Protection	<ul style="list-style-type: none"> • Physical Hardening/Security of Control Centers • Secure stored/parked trains, engines, and buses <ul style="list-style-type: none"> ◦ Bus/Rail Yards • Maintenance Facilities
1	Other Mitigation Activities	<ul style="list-style-type: none"> • Interoperable Communications • Anti-terrorism security enhancement measures for low-density stations

Risk Mitigation Score for Other Capital Security Projects

- Risk Mitigation is evaluated by a National Review Panel (NRP) of subject matter experts based on:
 - Cost Effectiveness
 - Feasibility
 - Timelines
 - Sustainability

Risk Mitigation Score: Cost Effectiveness

- Panel will look at:
 - impact on security relative to the investment.
 - evidence of the security impact
 - justification for the strategic use of the proposed budget
- Project cost levels should be commensurate with the security impact
- The proposed solution should be reasonable and advantageous over other possible solutions.
- Highly-scored projects will exhibit economical returns in which the benefits, expected impacts on security, will be great relative to the financial investment.

Risk Mitigation Score: Feasibility

- Panel will look at:
 - Likelihood of increasing security effectively
- The investment justification should show a high likelihood of improved security when implemented as designed.
- Projects will be scored based on their likelihood of being successful.

Risk Mitigation Score: Timelines

- Panel will look at:
 - The ability to complete the proposed project within submitted timeframes specified in the grant guidance.
- The investment justification should provide a timeline and schedule
- Demonstrate evidence of ability to complete the project within submitted timeline based on proposed strategy, potential implementation challenges, resource plan, and reasonableness of anticipated schedule.

Risk Mitigation Score: Sustainability

- Panel will look at:
 - Sustainability without additional Federal funds and leveraging of other funding
 - Likelihood of success, or continued success, without requiring additional Federal assistance
- The investment justification should show potential or confirmed additional funding if/as appropriate.
- The Investment Justification should also show a high likelihood of success or continued success without additional Federal assistance, as well as offer a long-term sustainability plan.



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Contacts



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Program Contacts and Resources

General Questions:	<u>TSAGrants@tsa.dhs.gov</u> and <u>askcsid@dhs.gov</u>
TSA Website:	<u>www.tsa.gov/grants</u>
FEMA Website:	<u>www.fema.gov/grants</u>
Conference Calls start Friday May 29 and will occur every Monday, Wednesday and Friday through June 29, 2009 at 1PM EST.	1-888-323-4702 Passcode: Wednesday



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Briefing Talking Points

The purpose of this document is to provide additional talking points and information to supplement the material presented in the FY 2009 ARRA TSGP Briefing PowerPoint Presentation. If you have any questions about the information in this document or the presentation, please send an email to TSAGrants@tsa.dhs.gov and carbon copy AskCSID@dhs.gov.

Slide Number:

1. The Department of Homeland Security, the Transportation Security Administration and the Federal Emergency Management Agency, is pleased to announce the Fiscal Year 2009 American Recovery and Reinvestment Act Transit Security Grant Program, or the ARRA TSGP. This special round of TSGP funding is a result of the American Recovery and Reinvestment Act of 2009.
2. Let us begin by giving an overview of the FY09 ARRA TSGP and how it differs from the FY09 TSGP
3. On slide three you will see the Congressional mandates and the main recovery priorities of the ARRA TSGP. The first objective is to create new jobs and preserve existing jobs. Second, these jobs must be created quickly and existing jobs must be secured in order to address our current economic challenges. Finally, the ARRA TSGP will be a totally competitive process. There is no Tier I and Tier II agency distinction, or target allocation amounts for the ARRA TSGP. All transit agencies will compete in an open environment for federal funds.
4. Slide four begins to discuss some of the key aspects of the ARRA TSGP. First, \$150 million has been authorized through the ARRA for TSGP. Of the \$150 million, up to \$100 can be used for operational packages, or OPacks. At least \$50 million must be spent on capital projects. If less than \$100M is awarded for OPacks, the remaining funding will be awarded for capital projects. Moving on, there are four bulleted eligible projects representing the three program priorities. The first priority is OPacks, which drive at the job creation goal of the program, and are also an effective security measure. These include K-9 Teams, Mobile Screening Teams and Anti-Terrorism Teams which up until now have been known as VIPR teams. In order to support these OPacks, priority 1b

allows for support and equipment costs. Applicants should ask for both OPacks and support/equipment costs in one Investment Justification, as explained in the grant guidance. The second priority is Shovel Ready Projects for Asset Hardening, which is intended to be construction projects that will create new or preserve existing jobs, and which can be implemented quickly. Shovel ready means that the project can certifiably begin within 90 days of release of funds and will be completed within 24 months from the release of funds date. Failure to meet the 90 day requirement may result in a loss of ARRA TSGP funding. The third priority and final eligible cost is a catch-all Other Capital Security Projects category. This is for capital projects including multi-user high density key infrastructure protection, single-user high-density key infrastructure protection, key operating asset protection, and other mitigation activities. It is important to note that projects such as training, public awareness, and drills and exercises are not eligible under the ARRA TSGP, as they do not significantly create or preserve jobs. The next row on the slide notes the performance measures. The ARRA requires that the use of federal funds be closely monitored and that the results from the funded projects be closely documented in order to track the effectiveness of the program. As such, there are additional reporting requirements than in past grant cycles. Please refer to the ARRA TSGP Guidance and Application Kit for complete instructions on data collection and reporting requirements. The final row in slide four notes that, as a competitive process, the ARRA TSGP will not have target funding allocations by region or tier.

5. Slide five continues by discussing the competitive nature of the ARRA TSGP, as required by the legislation. In order to ensure a fair application process, all information, conference call notes, and questions and answers will be posted on our website at www.tsa.gov/grants. All questions must be submitted formally, either to the two email addresses noted on the slide or asked on the conference calls that will be held three times a week during the application period. Questions and answers will be publically posted for the benefit of all applicants. Federal employees cannot answer questions relating to the ARRA TSGP in private conversations and/or emails, and we appreciate your understanding and cooperation. Slide 27 at the end of the presentation has additional contact information for your reference. Moving on to eligibility, similar to FY09 TSGP, the transit agencies will be the direct grantee. Funding will not go through the SAA. All agencies that were eligible in the FY09 TSGP are eligible under the ARRA TSGP. AMTRAK is also an eligible applicant. Certain law enforcement agencies that are the primary security provider for transit agencies are also eligible as sub-grantees to the transit agency for OPacks only. The last box specifies the eligibility for OPacks. In order to apply for Priority 1 OPack funding, a transit agency (or its primary security provider) must certify that they have a dedicated police force of at least 100 officers. The number

of new OPack positions created with ARRA TSGP funding can only increase the police force size by 5 percent. Any agency that can certify their dedicated police force of at least 100 officers is eligible to apply for OPacks, regardless of Tier.

6. Slide six provides some general points to keep in mind when applying for the ARRA TSGP. First, there is no cost share or match requirement. Second, all applicants must have a current vulnerability assessment and security plan (conducted or updated within the past three years). Grant funds must be used to address items in the vulnerability assessment and security plan. Finally, the due dates are addressed. Applications for Operational Packages must be submitted no later than 11:59 PM EST, June 5, 2009. Completed applications for Capital Projects must be submitted no later than 11:59 PM EST, June 22, 2009. Agencies applying for both programs must submit separate and complete applications by the respective deadlines under the appropriate Funding Opportunity Number. The Funding Opportunity Numbers can be found on page 1 of the ARRA TSGP Guidance and Application Kit.
7. The following slide gives a timeline of dates for the ARRA TSGP. The guidance for the program was released on May 28. Applications for OPacks are due by June 15. Capital projects, both shovel ready and other capital projects, are due June 29. The OPack and Capital project allocations will be announced by July 30 and August 31, respectively. Following the allocation announcements, FEMA will formally issue awards on a rolling basis once all mandatory reviews are complete.
8. Moving to the next slide, we will now discuss ARRA TSGP funding priorities
9. Slide 9 discusses the three overarching considerations of the ARRA which we've already mentioned. These are job creation and the preservation of existing jobs, quick implementation, and awarding funds based on a competitive process.
10. Slide 10 outlines the four project types that are eligible under the FY09 ARRA TSGP which we have already mentioned and will now discuss in greater detail.
11. Operational packages are the first priority and are discussed on slide 11. Transit agencies or their primary security providers that have at least 100 authorized positions dedicated to transit security as of January 1, 2009 are eligible for OPacks. Funding requests are limited to no more than 5 percent of the force's current authorized sworn positions. Applicants may also apply for the associated support equipment based on the numbers of officers requested. The three OPacks are K-9 teams, mobile screening

teams, and Anti-Terrorism Teams. ATTs were formerly referred to as VIPR teams. Costs for these OPacks are pre-approved, based on regional salary considerations, equipment costs, and other support costs. Applicants should use the pre-approved costs outlined in the grant guidance when applying for OPacks to facilitate the submission, review, and approval processes.

12. Slide 12 outlines the project requirements for the second priority project group, Shovel Ready Capital Projects for Asset Hardening. Eligible categories include multi-user high-density key infrastructure protection, single-user high-density key infrastructure protection, key operating asset protection, and other mitigation activities. To qualify as being shovel ready, applicants must submit certification that the project can begin within 90 days of release of funds and that the project will be completed within 2 years of the release of funds. Failure to meet the 90 day requirement may result in the loss of funding. In order to increase the speed of the project, Environmental and Historic Preservation documentation must be submitted with the application package to demonstrate the project is truly shovel ready.
13. Slide 13 discusses the third and final priority group, which is Other Capital Security Projects. This funding category is the same as priority group 2, except that the shovel ready requirement has been removed. While projects do not have to be shovel ready, they must, however, be completed within the 36 month period of performance that begins when the award is made and includes the federal review process. Once again, it is important to note that projects such as training, public awareness, drills and exercises are not eligible under the ARRA TSGP.
14. Next we will discuss the Review Criteria and Scoring Methodology.
15. Slide 15 begins by discussing the funding priorities for ARRA TSGP funding. The review criteria follow the three project priority funding groups. First, applications for OPacks will be awarded up to \$100 million. After that money has been allocated, applications for shovel ready capital projects will be reviewed. Finally, all other projects will be reviewed. Being a competitive process with a finite pool of funding, submitting an application does not guarantee funding. Awards will be decided based upon where an application is scored and ranked in relation to the project priorities and the availability of funds.
16. Slide 16 describes how projects for OPacks will be evaluated. DHS will verify compliance of the application with the eligibility criteria. Applicants should refer to the 2009 ARRA

TSGP Guidance and Application Kit for complete instructions on how to apply and the required forms to meet the eligibility criteria. After passing an initial review, applications will undergo a financial review of their budget to determine the appropriateness and completeness of the request based on the pre-approved costs outlined in the grant guidance. Following that, agencies will be ranked based upon their classified risk score. If the amount requested exceeds the available funds of \$100 million, then applicants will be funded in order of risk score until the available \$100 million has been consumed.

17. Slide 17 follows a similar process for reviewing Shovel Ready Capital Projects, which is the second project priority. DHS will conduct an initial eligibility review and a financial review. For shovel ready capital projects, applicants must certify their shovel ready status. Applicants that do not certify their projects as “shovel ready” will be considered in priority group three. As with OPacks, if the amount requested exceeds available funds then awards will be made in order of the transit agency’s risk score.
18. Slide 18 describes the rating criteria applied to Other Capital Security Projects. After confirming the eligibility of the project, applications for Other Capital Security Projects will be referred to a National Review Panel for scoring. The methodology for this scoring is discussed on the next slide.
19. Projects in Group 3 will be scored using the formula Risk Group Score times Project Effectiveness Group Score plus Risk Mitigation Score plus Regional Collaboration. To break this down, an agency’s risk score is sensitive security information and determined by TSA. The project effectiveness groups are listed on the next slide. Risk Mitigation comprises of cost effectiveness, feasibility, adherence to timelines, and the sustainability of the project without additional federal funds. When applying, please be sure to address each of these four points in your application in order to receive a score. Finally, extra consideration will be given to projects that demonstrate regional collaboration.
20. As previously mentioned, slide 20 identifies the four project effectiveness groups that will be considered for Project Group 3. The first group, and one that receives the most points, are projects that are for multi-user high-density key infrastructure protection. Multi-user stations are multi-modal stations and/or used by more than one transit operator or system. High-density is relative to the transit system applying and should be a high density station for that particular system. Some common projects fitting this category include tunnel hardening and security enhancements for high-density, multi-

modal/multi-user stations. The second project effectiveness group is for single-user high density infrastructure protection. This applies to high density infrastructure, relative to the transit system, where the applying transit agency is the only user of the infrastructure. Such projects include security enhancements at high density stations or bridges used by only one agency. Next on the project effectiveness list is key operating asset protection. This generally refers to security improvements at yards and maintenance facilities that are not used by the traveling public. The final project effectiveness group is for all other mitigation activities, such as interoperable communications or hardening of low density stations, which do not fit in the previous three categories.

21. Slide 21 highlights the four categories that comprise the Risk Mitigation score for Project Group 3. These four categories are: Cost Effectiveness, Feasibility, Timelines, and Sustainability.
22. Slide 22 describes what the panel is looking for when evaluating cost effectiveness. The panel wants to see if the costs are a reasonable and effective means to achieve the ends of the project. They will also compare the proposed solution to other alternatives. Ideal projects will have high security returns for relatively low costs.
23. Feasibility, discussed on slide 23, analyzes the ability of the project to reduce risk when implemented as designed.
24. The next slide focuses on the timeline component of the Risk Mitigation score. Timelines rate the realistic nature that the project will be completed within 24 months for shovel ready projects or 36 months for other projects. The review panel is more concerned with realistic and well thought out timelines as opposed to fast, overly aggressive timelines that claim to be able to finish a project early.
25. The final criterion, sustainability, is where an applicant can describe how the project will continue in the future after federal funding runs out. In order to receive points, it is very important that applicants specifically address each of these four criteria in their application. Additionally, applicants may also get a slight bump in points if they can demonstrate that the project will include regional partners at a level above normal expectations.
26. Slide 26 begins the section providing contacts in DHS.

27. Slide 27 lists the different ways applicants can reach out to DHS with questions or for help with the ARRA TSGP. General questions can be submitted to TSA and FEMA by emailing tsagrants@tsa.dhs.gov and askcsid@dhs.gov. Additional information, including the program Guidance and Application Kit, summaries of conference calls, and Question and Answer logs, can be found on the TSA website, which is www.tsa.gov/grants and by following the links for the ARRA TSGP under the “Programs” section. FEMA’s website is www.fema.gov/grants. DHS will also be hosting conference calls three times a week on Monday, Wednesday and Friday at 1 pm EST through June 29. The number to call is 888-323-4702 and the pass code is: Wednesday. As a reminder, because of the competitive nature of the program, all questions must be submitted either in writing to one of the email addresses or during a conference call. This ensures that questions and answers can be made public for everyone’s benefit, and that no one is given an unfair competitive advantage. Please do not hesitate to contact DHS with any questions or concerns regarding the ARRA TSGP and we look forward to receiving your application.

Thank you.