



U.S. Department of Homeland Security

# Fiscal Year 2011 Freight Rail Security Grant Program (FRSGP) Workshop



Homeland Security

May 23, 2011

# Agenda

1:00pm	Welcome and Opening Remarks
1:15 pm	Program Overview <ul style="list-style-type: none"><li>▪ Key Program Changes</li><li>▪ Eligibility</li><li>▪ Funding Priorities</li><li>▪ Scoring and Evaluation</li></ul>
1:45 pm	Eligible Projects
2:15 pm	Application Requirements
2:30 pm	15 minute break
2:45 pm	Investment Justifications
3:20 pm	Environmental Planning and Historic Preservation Review
3:45 pm	Questions and Answers



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# Fiscal Year 2011 FRSGP Overview



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# FRSGP Overview: Key FY 2011 Program Highlights

- GPS Tracking projects remain the priority project type over other eligible project types.
- All owners of all Rail Bridges are now eligible applicants
  - This priority has been expanded from just owners of bridges over the Western Rivers System, and has been reprioritized as the #2 priority for the FRSGP.
- Security exercises are an allowable activity for FY 2011 FRSGP funding.
- 25% match requirement for Training & Exercises, GPS, Bridge projects.
- No match requirement for vulnerability assessments and security plans.



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# FRSGP: Key Dates

- **June 13, 2011** – SF-424 Submission Deadline in grants.gov
- **June 20, 2011** – Grant applications are due through the ND Grants System 31 calendar days after the guidance was issued on May 19, 2011.
  - Deadline Congressionally-mandated and cannot be extended
  - Late applications cannot be considered
- **August 11, 2011** – DHS announces grant awards within 27 working days of the application submission deadline.



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# FRSGP Overview: Definitions

- **RSSM** is defined as:
  - More than 2,268 kg (5,000 lbs.) in a single carload of a Division 1.1, 1.2, or 1.3 explosive;
  - A tank car containing a material poisonous by inhalation, as defined in 49 CFR 171.8, including anhydrous ammonia but excluding residue; and
  - A highway route-controlled quantity of a Class 7 (radioactive) material, as defined in 49 CFR 173.403.
- **Offerors** are defined as:
  - Entities that lease rail cars in order to ship materials poisonous by inhalation/TIH materials by railroad.
- **TIH** is defined as:
  - A material poisonous by inhalation, as defined in 49 CFR 171.8, including anhydrous ammonia but excluding residue quantities of these materials.
- **Infrastructure hardening** is defined as:
  - The act of applying security to the infrastructure including but not limited to; Access Control Systems, Video Monitoring Systems and Physical Barriers.



# FRSGP Overview: Eligible Applicants

- There are three categories of eligible applicants:
  - **Railroad Car Owners and Offerors** must:
    - Transport Rail Bulk – poisonous by inhalation/toxic inhalation hazardous (TIH) ; AND
    - Travel from, to, or through a High Threat Urban Area (HTUA).
  - **Freight Railroad Carriers** must:
    - Transport Rail Security Sensitive Materials (RSSM);
    - Operate in or through at least one HTUA, as listed on page 15 of the Guidance package; AND
    - Certify they have developed and adhere to a vulnerability assessment and security plan that conforms to the requirements of 49 CFR 172.802.
  - **Owners of Rail Bridges** must:
    - Own bridges used for freight rail transportation; AND
    - Have bridges with a volume exceeding 4.9 million gross ton miles (MGTM)



# FRSGP Overview: Funding Priorities

Applicant	Eligible Projects
Railroad Car Owners and Offerors	GPS Tracking Projects (To acquire, install and operate satellite GPS tracking on railroad cars that transport TIH)
Class I Railroads	Security Awareness and Emergency Response Training and Exercises (For frontline employees <u>provided that they have completed an acceptable vulnerability assessment and security plan.</u> )
Class II and Class III Railroads	<ul style="list-style-type: none"> <li>• Vulnerability Assessments and Security Plans</li> <li>• Security Awareness and Emergency Response Training and Exercises*</li> </ul>
Owners of All Rail Bridges	Rail Bridge Hardening Projects**: (To purchase and install new infrastructure hardening capabilities on the bridge structure and its immediate surrounding area and access points.)

\*Class II and Class III railroads may apply for funding for training and exercises provided that they have completed an acceptable vulnerability assessment and security plan.

\*\*Bridges that have already received federal funding for infrastructure hardening are ineligible for additional funds through the FY 2011 FRSGP.



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# Tier I: High Threat Urban Areas

FY 2011 Tier I Urban Areas			
State/Territory	Urban Area	State/Territory	Urban Area
California	Bay Area	New Jersey	Jersey City/Newark Area
	Los Angeles/Long Beach Area	New York	New York City Area
District of Columbia	National Capital Region	Pennsylvania	Philadelphia Area
Illinois	Chicago Area	Texas	Dallas/Fort Worth/Arlington Area
Massachusetts	Boston Area		Houston Area



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# Tier II: High Threat Urban Areas

FY 2011 Tier II Urban Areas					
State/Territory	Urban Area	State/Territory	Urban Area	State/Territory	Urban Area
Arizona	Phoenix Area	Indiana	Indianapolis Area	Ohio	Columbus Area
	Tucson Area	Kentucky	Louisville Area		Toledo Area
California	Anaheim/Santa Ana Area	Louisiana	Baton Rouge Area	Oklahoma	Oklahoma City Area
	Bakersfield Area		New Orleans Area		Tulsa Area
	Oxnard Area	Maryland	Baltimore Area	Oregon	Portland Area
	Riverside Area	Michigan	Detroit Area	Pennsylvania	Pittsburgh Area
	Sacramento Area	Minnesota	Twin Cities Area	Puerto Rico	San Juan Area
Colorado	San Diego Area	Missouri	Kansas City Area	Rhode Island	Providence Area
	Denver Area		St. Louis Area	Tennessee	Memphis Area
Connecticut	Bridgeport Area	Nebraska	Omaha Area		Texas
	Hartford Area	Nevada	Las Vegas Area	Austin Area	
Florida	Fort Lauderdale Area	New York	Albany Area	Texas	El Paso Area
	Jacksonville Area		Buffalo Area		San Antonio Area
	Miami Area		Rochester Area	Utah	Salt Lake City Area
	Orlando Area	Syracuse Area	Virginia	Norfolk Area	
	Tampa Area	North Carolina		Charlotte Area	Richmond Area
Georgia	Atlanta Area	Ohio	Cincinnati Area	Washington	Seattle Area
Hawaii	Honolulu Area		Cleveland Area	Wisconsin	Milwaukee Area



# FRSGP Overview: Railroad Class Eligibility

**Class I, II, or III?**  
If yes, eligible to apply

Must meet all 3 Eligibility Requirements:

- 1) Transport RSSM
- 2) Operate in or through a HTUA
- 3) Certify they have developed and adhere to a Vulnerability Assessment and Security Plan that conforms to the requirements of 49 CFR 172.802.4

Eligible to Apply

**Class II and III**

**ALL RAIL CLASSES**

Eligible to apply for funds to conduct a Vulnerability Assessment or create or improve a Security Plan and according to Part I of the FRSGP FY2011 Guidance

Have and can certify existence of a Vulnerability Assessment and Security Plan that meet the requirements in Part I of the grant Guidance?

Eligible to apply for training and exercise funds



# FRSGP Overview: Scoring and Evaluation

- Applications will be reviewed and scored by a National Review Panel (NRP) using risk-based prioritization and the following five review criteria:
  - Compliance (20%)
  - Cost Appropriateness (20%)
  - Feasibility (20%)
  - Sustainability (10%)
  - Risk (30%)
- Applicants must comply with all administrative requirements – including complete Investment Justifications, budgets, required forms and certifications, and application process requirements – to have their applications reviewed and scored by the NRP.



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# FRSGP Overview: Evaluation Criteria

<b>Compliance</b>	Adherence to the project type requirements listed in Part I of the guidance (e.g. vulnerability assessment requirements, security plan requirements, frontline employee training requirement, GPS requirements, and bridge hardening requirements)
<b>Cost Appropriateness</b>	Cost appropriateness of the request as determined by carrier's assets, location, infrastructure, and size [volume of RSSM shipment] and security impact, and reasonableness over other possible solutions.
<b>Feasibility</b>	Ability to complete the proposed project within the proposed timeframes, the level of expertise and appropriateness of the management team as proposed, and the ability to meet the challenges associated with the implementation of the project.
<b>Sustainability</b>	Ability to sustain (maintain intended benefit of) the investment after the Federal grant funding has been expended.
<b>Risk</b>	Risk associated with (1) HTUAs and (2) the type and amount of RSSM including TIH materials hauled or stored.



# Fiscal Year 2011 FRSGP Eligible Projects



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# FRSGP Requirements

- Management and Administration cannot exceed 5%
- 25% Cost Share for Training and Exercises, GPS or Bridge Projects
- No Cost Share for Vulnerability Assessments and Security Plans



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# FRSGP Eligible Projects: GPS Tracking

- GPS Tracking Technology is available to **owners and offerors of railroad cars** used in the transportation of TIH material.
- Allowable Expenses:
  - **Purchase of new units:** Basic GPS unit capable of reporting requirements as specified in GPS Tracking requirements Part II Section A of the FY 2011 FRSGP guidance. Additional sensory capability costs are not eligible and, if included, must be assumed by the railroad car owner. **This grant will not fund replacement units or more than one unit per railcar.**
  - **Installation:** Applicable installation costs for the GPS units are allowable.
  - **Activity Feeds:** In accordance with the satellite Communication system and functional requirements as specified in the GPS Tracking Requirements Part II Section A of the FY 2011 FRSGP guidance. Cost of additional sensory information is not eligible and, if included, must be assumed by the railroad car owner.



# FRSGP Eligible Projects: Infrastructure Hardening on Rail Bridges Allowable Expenses

- **Purchase of new hardware:** Security hardening equipment, such as cameras, sensors, access control units and lighting are allowable.
- **Installation:** Applicable installation costs for the equipment is allowable.



# FRSGP Eligible Projects: Vulnerability Assessments

- Vulnerability Assessments are available to **Class II and III railroads** that transport RSSM and operate in or through at least one HTUA.
- Must complete a Vulnerability Assessment of all railroad carrier critical assets and infrastructure, and the carrier's transportation and storage of RSSM in rail cars, excluding residue.
- Vulnerability Assessment Methodologies
  - Assessment must be conducted using a tool or methods which meet the above criteria and must be accepted by DHS/TSA.
  - Some examples of the publicly available methodologies that meet these criteria include, but are not limited to the following:
    - DHS Transit Risk Assessment Module (TRAM)
    - Various Intelligence Community's Analytical Risk Management (ARM) Process.
  - Various commercially available tools also meet these criteria



# FRSGP Eligible Projects: Vulnerability Assessments Allowable Expenses

- Development of all required content, as specified on pages 7 - 8 of the FY 2011 FRSGP Guidance and Application Kit, are allowable expenses.



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# FRSGP Eligible Projects: Security Plans

- Security Plans are available to **Class II and III railroads** that transport RSSM and operate in or through at least one HTUA.
- Security Plan must be based on and supported by the railroad carrier's vulnerability assessment.
  - Ensures the security processes and procedures are in place to effectively prevent and respond to threat incidents and terrorist attacks.
- Development of all required content, as specified on pages 8 - 10 of the FY 2011 FRSGP Guidance and Application Kit, are allowable expenses.



# FRSGP Eligible Projects: Frontline Employee Security Training and Exercise Projects

- Frontline Employee Security Training and Exercises are available to **Class I railroads** that operate in or through at least one HTUA and **Class II and III railroads** that have completed an acceptable vulnerability assessment and security plan.
- Allowable Expenses:
  - **Training workshops and conferences.** 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.
  - **Certain full or part-time staff and contractors or consultants.** Full or part-time staff may be hired to support training and exercise-related activities.
  - **Public sector employee overtime and backfill costs.** Payment of overtime expenses will be for work performed by award or sub-award employees in excess of the established work week (usually 40 hours). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that it is DHS approved training. Overtime and backfill of private sector employees are not eligible.



# FRSGP Eligible Projects: Security Training and Exercise Projects

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training and/or exercise project(s) or for attending DHS-approved courses. These costs must be in accordance with State law as highlighted in FAR Part 31.2.
- **Exercise planning workshop.** Plan and conduct exercise planning workshop, to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training and/or exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **Other Items.** These costs may include the rental of space/locations for planning and conducting training and exercises, exercise signs, badges, and similar materials.



# FY 2011 FRSGP Application Requirements



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# FRSGP: 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
    - If applying for training or exercises:
      - Vulnerability Assessment and Security Plan Certification Statement
      - Vulnerability Assessment and Security Plan Certification Statement for 49 CFR Part 172



# FRSGP: Application Requirements

- CDFA (Catalog of Federal Domestic Assistance) number is 97.075 (“Rail and Transit Security Grant Program”)
- Up to four (4) Investment Justifications with budget detail, each addressing an initiative being proposed for funding.
- National Environmental Preservation Act (NEPA)/ Environmental and Historic Preservation (EHP) Act:
  - Requirements do not apply to FRSGP vulnerability assessment and security plans, training, exercises or management and administration projects.
  - May apply to FRSGP GPS tracking projects and bridge projects



# FRSGP: Application Process

- FEMA has introduced ND Grants, a consolidated grant management system with both disaster and non-disaster components covering the entire grant lifecycle.
  - Release 1.0.2.0 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 - Registration Process

1. Go to: <https://portal.fema.gov>. Click the “New User?” button
2. The *Personal Information* screen will be displayed. Enter the requested information and click the “Submit” button.
3. Create and confirm your password. Click the “Submit” button.
4. The *Congratulations* screen will be displayed.
5. Click on the “Click here to request new privileges” button.
6. The *Request Access* screen will be displayed. Scroll down to ND Grants and click on the “Request Access” link next to the icon.
7. The *Access ID* screen will be displayed.
8. Enter access code **8320** and click the “Submit” button.
9. The *ND Grants Homepage* screen will be displayed indicating
  - that you have successfully registered in ND Grants.



# ND Grants - Manage Organizations

- ***View and Create your Organization in ND Grants***
- Under the **Organization** tab, click the Organizations left hand menu link
- The **Manage Organizations** screen will be displayed, listing all the organizations you belong to. If you do not belong to an organization you request access (see next slide) to an existing organization or create a new organization (see below)
- To create a new organization on the **Manage Organizations** screen, click the *Add Organization* button
- The **Add/Update Organization** screen will be displayed
- Complete the organization details and click the **Save and Continue** button
- The **Organization Details** (confirmation) screen will be displayed
- If you have created an organization you become its Organization Administrator and all access requests to that organization will be sent to you
- Click the **Return to Organizations** button
- The **Manage Organizations** screen will be re-displayed



# ND Grants - Manage Organizations

- [Requesting Access to an Organization](#)

1. Click the **Organization** tab
2. Click the [Request Access](#) left-hand menu link
3. The **Request Access to Organizations** screen will be displayed. The screen will list all the organizations you currently have no access to.
4. Check for the organization that you want to request access to. If you do not see it listed on the screen, click the *Search* button to find it.
5. Click the Request Access link next to the organization you want access to
6. The **Request Access** screen will be displayed
7. Provide your reasons for requesting the access under the *Access Request Comments* section in the Message box, and click the *Submit* button
8. The **Request Access Confirmation** screen will be displayed
9. Check your email to see if your access request was approved  
(You can also click the [Organizations](#) left-hand menu link to see if the organization is listed as one of the organizations you belong to.)



# ND Grants Questions

- If you have any questions, please send an email to:
  - [fema-enterprise-service-desk@fema.gov](mailto:fema-enterprise-service-desk@fema.gov)
  - or contact the Enterprise Service Desk at
    - 1-888-457-3362



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# FRSGP: Award and Reporting Requirements

- Grant Award and Obligation of Funds
  - Upon approval of application, grant is awarded to the grant recipient. That date is the “Award Date.” Period of performance is 36 months.
  - Notification of award is done by email through the Grants Management System (GMS) to the individual filing the application as well as the authorized grantee official. Read the award and any special condition documents included. Authorized grantee official must accept the award, returning both a signed copy of the award document and initialed copy of special conditions page(s).
  - Complete and return SF 1199A, Direct Deposit Sign-up Form.
  - Use FEMA’s online Payment and Reporting System (PARS) to request funds.



# FRSGP: Award and Reporting Requirements

- Post Award Requirements
  - Quarterly FSR (Financial Status Report) due within 30 days of the end of each calendar quarter, including all partial quarters and periods of no grant activity.
    - Refer to FRSGP guidance and application kit, Part 6, for further reporting requirements.
    - Grant recipients are monitored periodically by FEMA staff to ensure project goals, objectives, performance requirements, timelines, budgets, are being met. Review can be office-based or on-site, or combination.



# FY 2011 FRSGP Investment Justification



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# FRSGP Investment Justification: Section I and II: Background and Impact

- I.A: Identify the point(s) of contact for this investment.
- I.B: Describe your operating system as applicable.
  
- II.A. Provide an abstract for this investment.
- II.B. Discuss how the implementation of this investment will decrease or mitigate risk.
- II.C. Vulnerability assessments and security plan requests as applicable.
- II.D. Training Program, as applicable.



# FRSGP Investment Justification: Section III: Funding and Implementation Plan

- III.A. Investment Funding Plan.
- III.B. Identify up to five potential challenges to the effective implementation of this investment (e.g. stakeholder buy-in, sustainability, aggressive timelines).
- III.C. Describe the management team, including roles and responsibilities that will be accountable for the oversight and implementation of this investment, and the overall management approach they will apply for the implementation of this investment.
- III.D. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.



# FRSGP Investment Justification: Section III: Funding and Implementation Plan

- III.A. Investment Funding Plan.
- Budget Category
  - Direct Costs:
    - A. Personnel
    - B. Fringe Benefits
    - C. Travel
    - D. Equipment
    - E. Supplies
    - F. Consultants/Contracts
    - G. Other (List items (e.g., rent, reproduction, telephone, janitorial or 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. These costs are applicable to the overall M&A cap of five percent (5%).)
    - 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.)



# FRSGP Eligible Projects: GPS Tracking

- Satellite or land-based wireless GPS communication systems must meet the following requirements:
  - The system shall have the capability of providing the current position by latitude and longitude.
  - The system shall have geofencing hardware capable of initiating a data transmission upon traversing an HTUA boundary. If the system does not support this requirement, the system must transmit location and status data in four-hour intervals.
  - The system shall have the capability of sending an alert notification to the designated dispatch/operation center when the rail car enters and leaves an HTUA.
  - The GPS system shall provide the real time railcar position by latitude and longitude, as well as related shipment data, as defined by DHS. DHS will also have unrestricted access to the GPS tracking data.
  - The system shall have the capability to allow polling of the rail car tracking units to request a current location and status report.
  - The system shall be capable of operating with a reporting frequency that permits locating the rail car within a reasonable precision when requested by DHS/TSA representatives.



# FRSGP Eligible Projects: GPS Tracking

- Satellite communication systems must meet the following requirements:  
(continued)
  - The tracking system shall meet all federal, state, local, and industry safety standards regarding the installation of the GPS equipment on the rail car.
- The tracking system shall be tested periodically and the results of the test recorded.
- Rail Car Tracking Systems shall conform to the “TSA Universal Communications Interface (UCI) – Interface Requirements Specification (IRS)” for enabling the transmission of data from commercially available tracking systems to a centralized government tracking center.
- Companies must provide TSA rail car tracking and shipment data through the UCI.



# FRSGP Eligible Projects: GPS Tracking

- A communication plan should be established to include standard operating procedures (SOP) for communications between rail car owners/lessees, appropriate railroad carrier personnel, and emergency services agencies.
- If RSSM offerors who ship by railroad apply for GPS tracking on cars that transport TIH, they must submit a statement certifying the acknowledgment of the application by the owner of the rail car.



# FRSGP Eligible Projects: Infrastructure Hardening on Rail Bridges

- **The following information should be included in applications for bridge projects:**
  - Asset Name
  - Owner/Operator
  - Complete Address
  - Latitude/ Longitude
  - County or Counties
  - Local Government(s)
  - Identify public venues within 2.5 mile radius
  - Identify high density structures within a 2.5 mile radius (schools, hospitals, prisons, high rises, etc.)



# FRSGP Eligible Projects: Infrastructure Hardening on Rail Bridges

- **The following information should be included in applications for bridge projects:** (continued)
  - Are there other back-ups or reroutes for the loss of this asset? List these backups, contingencies and redundancies.
  - Describe facilities that share perimeter boundaries with this asset.
  - Please identify other railroads utilizing this asset.
  - Is this asset part of a STRACNET route or STRACNET connector route?
  - What railroad division/subdivision is the asset part of?
  - Is this bridge fixed or moveable?
  - If moveable, what type? (Swing, Lift, Bascule)
  - What is the total length of the bridge?
  - What is the height of the bridge above mean water level?
  - Does the bridge cross a navigable waterway? Name waterway.



# FRSGP Eligible Projects: Infrastructure Hardening on Rail Bridges

- **The following information should be included in applications for bridge projects:** (continued)
  - What is the maximum permissible speed over bridge?
  - What is the average daily total of all trains?
  - What is the average daily volume of passenger trains?
  - What are the primary commodities carried by this bridge?
  - How many tracks are on the bridge?
  - How often are underwater inspections of piers completed?
  - How often is an inspection of the bridge completed?
  - What is the primary alternate route if this bridge is out of service? Describe
  - Are there bridge piers accessible by foot or vehicular traffic?
  - Is the bridge manned? What hours?
  - Does this bridge also carry public vehicular or foot traffic?



# FRSGP Eligible Projects: Infrastructure Hardening on Rail Bridges

- **The following information should be included in applications for bridge projects:** (continued)
  - Has the bridge design or construction provided for risk mitigation, such as fire-proofing, non-flammable, etc.?
  - What are the million gross ton miles (MGTM) annually on this bridge?
  - What is the AAR security classification of this asset?
  - What is the maximum car weight permitted (in tons)?



# FRSGP Eligible Projects: Vulnerability Assessments

- When applying, applicants should keep in mind that their vulnerability assessment must adhere to the following structure:
  - Identification of all critical assets and infrastructure
  - Each asset should be assessed as the target of at least the following acts of terrorism (attack scenarios);
    - Vehicle-Borne Improvised Explosive Device (VBIED) attack
    - Improvised Explosive Device (IED) attack
    - Cyber attack



# FRSGP Eligible Projects: Vulnerability Assessments

- **Vulnerability Assessment Structure:** (continued)
  - Identification of vulnerabilities on all critical assets and infrastructure
    - Strengths and weaknesses
    - Countermeasures and their effectiveness in reducing identified vulnerabilities, taking into account the following:
      - Physical security
      - Randomness of operations
      - Access control to critical areas
      - Computers or other automated systems used in railroad operations
      - Emergency communications systems and utilities
      - Planned coordination with first responders
      - Employee and contractor personnel screening
      - Employee security training
      - Dwell time of rail cars containing RSSM



# FRSGP Eligible Projects: Vulnerability Assessments

- **Vulnerability Assessment Structure:** (continued)
  - Identification of redundant and backup electrical power and communications network
  - Analysis of the consequences of each applicable act of terrorism on identified critical assets; estimating the impact of each scenario will have on the following:
    - Railroad operations
    - Population
    - National Security
    - National Economy
  - Risk assessment for each critical asset and infrastructure that takes into account relative degree of risk in terms of consequences of the act of terrorism; likelihood of a success of the act of terrorism; and threat information available to the rail carrier



# FRSGP Eligible Projects: Security Plans

- **Freight Rail Security Plan Structure:**
  - Rail Carrier's Statement of Security Plan Objectives
  - Designation of "Rail Security Coordinator(s)"
  - Roles and responsibilities of those designated with security responsibilities
  - Procedures in place to communicate, disseminate, and respond to threat information
  - Security countermeasures to be implemented in response to terrorist attack or raised alert level; monitor and track implementation
  - Procedures for periodic audits, exercises and drills of security plan and its components; including after action report/Projects with lessons learned that are shared with appropriate personnel
  - Measures to prevent unauthorized access to designated or restricted areas
  - Measures to prevent the introduction of dangerous substances and devices to designated restricted areas and/or railroad property



# FRSGP Eligible Projects: Security Plans

- **Freight Rail Security Plan Structure:** (continued)
  - Procedures and expected timeframes for responding to security threats and breaches of security; including provisions for maintaining security of infrastructure and operations on railroad property
  - Procedures for evacuating railroad facilities or conveyances in case of reliable security threats or breaches of security
  - Procedures in place for the protection of railroad carriers designated critical assets and infrastructure
  - Procedures for communicating during an emergency situation
  - Security measures designed to ensure security of local communities, special events, and railroad owned/operated property, equipment, and leased track
  - Procedures to address secure handling and storage of TIH materials when threat conditions warrant
  - Plan to minimize the occasions when loaded tank cars carrying TIH materials are unattended in HTUAs



# FRSGP Eligible Projects: Security Plans

- **Freight Rail Security Plan Structure:** (continued)
  - Plan for employee security awareness training to include number of employees and timeline for conducting the training
  - Plans for a positive and secure handoff of RSSM rail cars at points of interchange with shippers, receivers, and other carriers
  - Plans and procedures to provide redundant and backup systems required to ensure continued railroad operations
  - Procedures to respond to and facilitate the recovery of railroad operations after a transportation security incident
  - Procedures for cyber security
  - Appendix containing risk mitigation strategies for addressing vulnerabilities identified in the vulnerability assessment but not sufficiently addressed by the security plan.
    - Outstanding Vulnerabilities
    - Mitigation options and associated costs of alternatives
    - Preferred mitigation strategy
    - Comprehensive funding plan and schedule for risk remediation



# FRSGP Eligible Projects: Frontline Employee Security Training and Exercises Projects

- **Frontline Employee security training program must include the following components:**
  - Security Awareness
    - Identifying, reporting, and reacting to suspicious activity, suspicious items, dangerous substances, and security incidents
    - Determining the seriousness of an occurrence or threat
    - Recognizing and reporting improvised explosive devices (IED) and weapons of mass destruction (WMD) in the confines of trains and critical infrastructure
  - Behavior Recognition
    - Recognizing behaviors associated with terrorists' reconnaissance and planning activities
    - Behavioral and psychological aspects of, and responses to, terrorist incidents, including the ability to cope with hijacker behavior



# FRSGP Eligible Projects: Frontline Employee Security Training and Exercises Projects

- **Frontline Employee security training program must include the following components:** (continued)
  - Threat/Incident Prevention, Protection, and Response
    - Understanding individual roles and responsibilities in prevention of and response to terrorist attacks
    - Crew communication and coordination
    - Evacuation procedures for employees
    - Self defense and use of non-lethal defense devices
    - Use of personal protective devices and other protective equipment
    - Procedures for communicating and interacting with governmental; nongovernmental emergency response providers
    - Operation and maintenance of security equipment and systems, to the extent the employee's responsibilities involve use or maintenance of such equipment
    - Live situational exercises regarding various threat conditions



# FRSGP Eligible Projects: Frontline Employee Security Training and Exercises Projects

- **Frontline Employee security training program must include the following components:** (continued)
  - Threat/Incident Prevention, Protection, and Response (*additional components for operations control center/operations dispatch center personnel*)
    - Understanding the role of the operations control center in prevention of, protection against and response to terrorist attacks
    - Implementing freight rail carrier's security plan and components
    - Understanding individual roles and responsibilities
    - Specifying priorities in prevention of, protection against, and response to a terrorist threat or attack
    - Directing and coordinating prevention, protection, and response activities for terrorist threat or attack.
    - Ensuring effective command, control, and communication with first responders
    - Use of personal protective devices and other protective equipment



# FRSGP Eligible Projects: Frontline Employee Security Training and Exercises Projects

- **Frontline Employee security training program must include the following components:** (continued)
  - Threat/Incident Prevention, Protection, and Response (additional components for operations control center/operations dispatch center personnel)
    - Procedures for communicating and interacting with governmental and nongovernmental emergency responders
    - Operation and maintenance of security equipment and systems, to the extent the employee's responsibilities involved in the use and maintenance of such equipments
    - Tabletop and live situational exercises testing capabilities to direct and coordinate prevention and response activities for terrorist threats or attacks
- Training courses must be DHS-approved courses. Information on DHS-approved training can found at the following website: [www.firstrespondertraining.gov](http://www.firstrespondertraining.gov).



# FY 2011 FRSGP Environmental Planning & Historic Preservation (EHP) Review



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# What is an EHP 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



# Importance of Compliance

## COMPLIANCE

- Efficient project planning and implementation
- Improved community relations
- Cost efficient
- Programmatic and financial compliance
- Protection of natural and cultural resources

## NON-COMPLIANCE

- Project delays
- De-obligation of funding
- Negative publicity
- Civil penalties
- Lawsuits



# Type A Projects

## Covered by Programmatic Environmental Assessment\*

- Projects with no potential for environmental impacts:
  - Planning
  - Classroom-based training and exercises
  - Vehicle Security Enhancements
    - GPS
    - Driver Shields
    - On Board Cameras
    - Software
    - Other equipment that does not require installation

\* PEA covered in Information Bulletin # 345



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# Type B Projects: Mandatory EHP Review

- Projects with no potential for environmental impacts if certain conditions apply:
  - Equipment installation (structures less than 50 yrs old)
    - e.g. Access controls, Cameras, Fencing, Bollards
- Questions to Answer:
  - Age of the structure or facility
  - Does the project involve ground disturbance or clearance of vegetation?
  - Correct address
  - Will work occur in or near water?



# Type C Projects

- Projects that may have potential for environmental impacts:
  - New Construction
  - Renovations (modifications to structures 50 yrs+)
- Additional documentation may be required
  - Environmental Assessments (EAs), Biological Assessments (BAs), or Memoranda of Agreement (MOAs) may be required
  - Public involvement
  - Detailed photos of all sides may be required



# 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.



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# EHP Information Needed

- What are the required contents?
  - **Completed EHP Screening Memo**
  - **Detailed project description-What, Where, and How**
  - **Physical address of structure/facility or lat/long**
  - **Clear color photographs** (aerial/ground of area affected with appropriate notation for location of new equipment or ground disturbance)
  - **Dimensions/acreage/square footage of structure/land affected**
    - Extent and depth of ground disturbance for:
      - new construction and structure modification
      - laying of utility lines
      - installing fencing and light posts, etc.



# EHP Information Needed (continued)

- What other required contents?
  - Year building or structure was built (to include buildings or structures that are in the vicinity)
  - Special equipment being used, staging areas, etc
- Complete EHP info will provide the necessary information to expedite EHP review



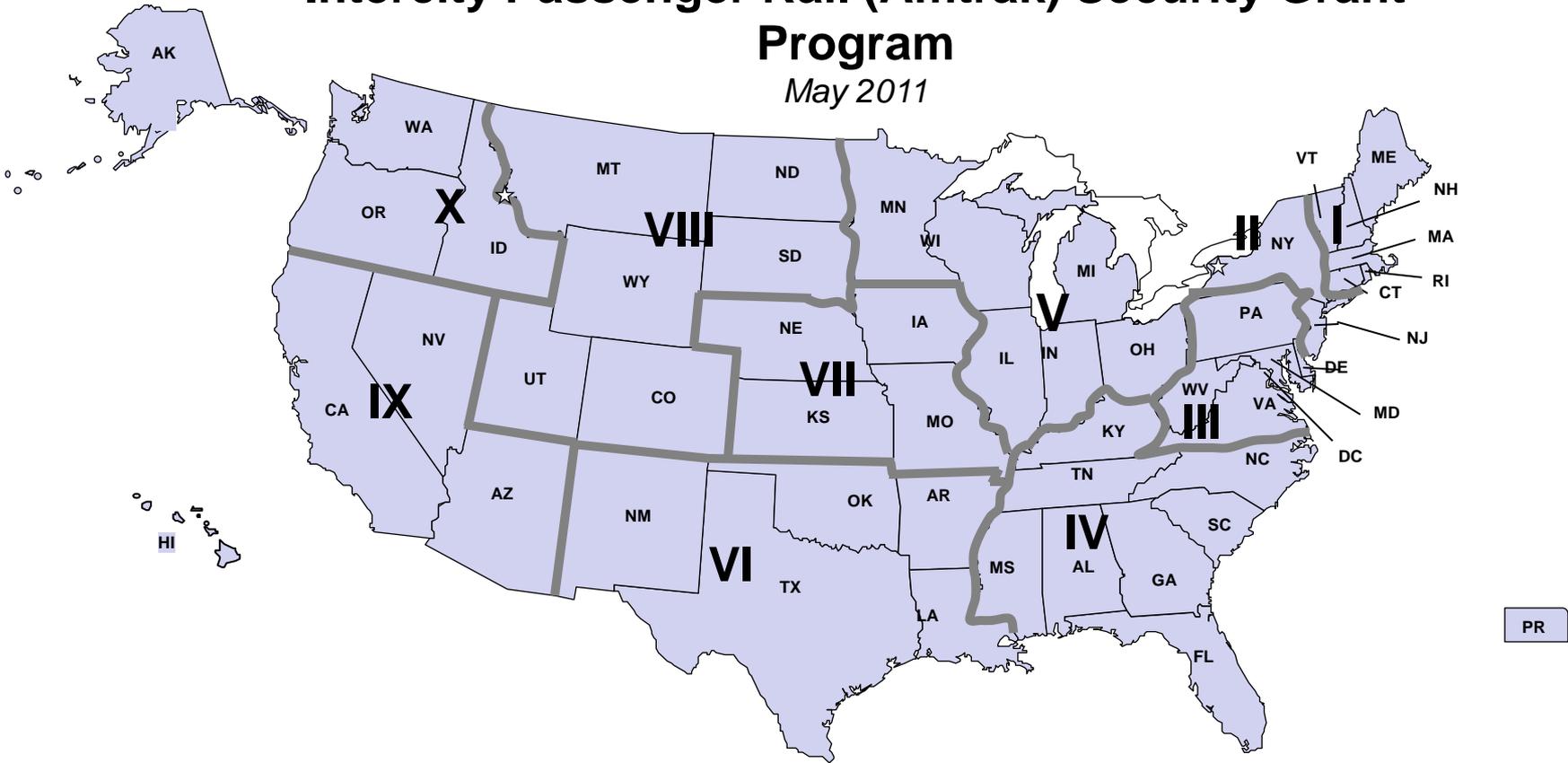
# Resources

- FEMA Website: [www.fema.gov/grants](http://www.fema.gov/grants)
- FEMA Centralized Scheduling & Information Desk (CSID)
  - 1-800-368-6498 (8:00 a.m. to 6:00 p.m. EST, Monday to Friday)
  - Email: [askcsid@dhs.gov](mailto:askcsid@dhs.gov)
- TSA Grants Website: [www.tsa.gov/grants](http://www.tsa.gov/grants)
- TSA Grants Email: [tsagrants@tsa.dhs.gov](mailto:tsagrants@tsa.dhs.gov)
- Weekly Conference Calls:
  - Every Thursday May 26, 2011 – June 16, 2011 at 1PM EST
  - 1-877-988-9660, Passcode: 6827433
- Grants.gov Customer Service Hotline: 1-800-518-4726



# Grant Programs Directorate State Assignments Freight Rail Security Grant Program Intercity Passenger Rail (Amtrak) Security Grant Program

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