Foreword

In July 2002, the President approved the *National Strategy for Homeland Security*, establishing a road map for the national effort to prevent and respond to acts of terrorism in the United States. The *National Strategy* recognizes the vital role of state and local public safety agencies in providing for the security of our homeland. In February 2003, the President signed into law the Consolidated Appropriations Resolution, 2003, Public Law 108-7 which provides state and local governments with the vital funding they require to participate in the national effort to combat terrorism. In April 2003, the Emergency Wartime Supplemental Appropriations Act, 2003, provided additional funds to expand and continue these efforts.

The U.S. Department of Homeland Security (DHS), Office for Domestic Preparedness (ODP) FY 2003 Urban Areas Security Initiative (UASI) reflects the intent of Congress and the Administration to enhance and quantify the preparedness of the nation to combat terrorism. Whereas most states and municipalities have strengthened their overall capability to respond to acts of terrorism involving chemical, biological, radiological, nuclear or explosive (CBRNE) weapons, there continues to be room for improvement in meeting our national priorities of preventing and responding to terrorist attacks.

The Office for Domestic Preparedness is providing financial assistance to selected urban areas, port authorities, and mass transit systems through the FY 2003 Urban Areas Security Initiative. Seven selected urban areas will be provided direct funding from the Consolidated Appropriations Resolution, 2003, and thirty selected urban areas will be provided funding through their respective States from the Emergency Wartime Supplemental Appropriations Act, 2003. The UASI Grant Programs are being provided to address the unique equipment, training, planning, and exercise needs of large high threat urban areas, and program activities must involve coordination by the identified core city, core county/counties, and the respective State Administrative Agency. The funding will provide assistance to build an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism for the selected urban areas. The funding identified for ports and transit systems will allow selected agencies to enhance security at these critical infrastructure facilities. Funding provided to urban areas through the UASI I and II Grant Programs may also be used for security enhancement of ports and mass transit systems.

The Department of Homeland Security looks forward to working with all of you in this critical national effort to secure our homeland.

Tom Ridge
Secretary
Department of Homeland Security

Contents

UASI TRANSIT SYSTEM SECURITY GRANT PROGRAM APPLICATION
Actual application must be made online through GMS

❑ Standard Form 424

❑ Program Narrative

❑ Budget Narrative and Budget Detail Worksheets

❑ Assurances

❑ Certifications Regarding Lobbying; Debarment, Suspension and Other
Responsibility Matters; and Drug-Free Workplace Requirements

❑ Non-supplanting Certification

I.   Background

Initial funding for the Fiscal Year (FY) 2003 Urban Areas Security Initiative (UASI) Program was authorized by the Consolidated Appropriations Resolution, 2003 and was made available by the U.S. Department of Homeland Security (DHS), through the Office for Domestic Preparedness (ODP), directly to seven selected urban areas through the FY 2003 UASI I Grant Program application.

The Emergency Wartime Supplemental Appropriations Act, 2003 provided follow-on funding for the UASI Program.   The FY 2003 UASI II Grant Program provided financial assistance to States for subsequent distribution to 30 selected urban areas, including the original seven urban areas funded under UASI I.   This financial assistance has been provided to address the unique equipment, training, planning, exercise and operational needs of large urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism. Urban areas selected for funding must take a regional metropolitan area approach to the development and implementation of the UASI Grant Program and involve core cities, core counties, contiguous jurisdictions, mutual aid partners, and State agencies.

The Supplemental Appropriations Act also allowed the Secretary of Homeland Security to provide funding for protection of critical infrastructure. Fourteen port authorities and twenty mass transit systems have subsequently been identified to receive funding through the UASI Port Security Grant Program. This component of the UASI Program is intended not only to address security needs at these high risk critical infrastructure facilities, but to promote comprehensive regional planning and coordination. Although administered by the ODP, the UASI Transit System Security Grant Program has been coordinated with the Transportation Security Administration and the Department of Transportation's Federal Transit Administration. Funding provided to urban areas through the UASI I and II Grant Programs may also be used for security enhancement of ports and mass transit systems.

The Office for Domestic Preparedness transferred from the U.S. Department of Justice, Office of Justice Programs (OJP), to the U.S. Department of Homeland Security effective March 1, 2003. The OJP Office of the Comptroller (OC) will continue to provide fiscal support and oversight to the UASI Grant Program for the effective period of performance for the grant.

II. The Fiscal Year 2003 Urban Areas Security Initiative Transit System Security Grant Program

A.   Authorized Program Purpose

Funding for the FY 2003 UASI Transit System Security Grant Program is authorized by Public Law 108–11, the Emergency Wartime Supplemental Appropriations Act, 2003, and augments efforts begun with the FY 2003 UASI Program to address the unique needs of large urban areas. ODP will provide support services to assist grantees in completing the application. Please consult your respective Program Manager using ODP's toll-free number (1-800-368-6498).

B.   Program Requirements

The identified transit systems, located at Appendix A, will be responsible for the administration of the UASI Transit System Security Grant Program. In administering the program the transit system must comply with the following requirements:

1. **Identification of Point of Contact.** The agency must designate a specific point(s) of contact (POC) to work with ODP on the implementation of the UASI Transit System Security Grant Program.

2. **Description of the Transit Agency.** The Transit Agency must provide a description of its operating system, including the location, infrastructure, miles of tracks, numbers of vehicles, types of service, ridership, and other important features. The agency must also include a map and description of the geographical borders of its system and identify the cities and counties served.

3. **Conduct of a Transit System Threat and Vulnerability Assessment.** If not already completed, each transit system will be required to conduct a threat and vulnerability assessment (TVA) which includes requirements outlined in "The Public Transportation System Security and Emergency Preparedness Guide", Chapter 5, published by the U. S. Department of Transportation's Federal Transit Administration (FTA), and available at: http://transit-safety.volpe.dot.gov/Publications/security/PlanningGuide.pdf . For purposes of this grant, transit agencies may use the recently completed Security Readiness Assessment conducted by the FTA. **This plan must be available for officials of the Department of Homeland Security to review upon request.**

As part of the UASI Program, the Office for Domestic Preparedness (ODP) is making available technical assistance to mass transit agencies for enhancing their capacity and preparedness to respond to Weapons of

Mass Destruction (WMD) terrorist incidents. This technical assistance includes provision of a Project Team that can support the agency on-site in the implementation of a Needs Assessment process, similar to that provided recently by ODP for the Port Authority of New York and New Jersey. The overall Needs Assessment process is used to identify and prioritize mass transit agency needs, according to risk, security countermeasures, and response capability. The process involves three primary components, as follows:

- Risk Assessment
- Response Capabilities Assessment
- Needs Assessment

The process will result in two products: 1) a prioritization of security countermeasures and emergency response capability needs based on terrorist threat and risk; and 2) development of a roadmap for future transit agency funding allocations for terrorist attack risk reduction.

4. **Development of a Transit Security and Emergency Preparedness Plan**. The transit system must have a current (updated within the past year), comprehensive plan that provides written policies and procedures to guide the transit system's activities for homeland security and emergency preparedness. The Plan must demonstrate that the security program is an integrated one, and has been coordinated with other agencies, including the Urban Area Working Group for those transit systems located in urban areas that were recipients of UASI I or II Grant Program funds.

This Emergency Preparedness Plan should serve as the basis upon which decisions regarding allocation of the grant funds are made. **This plan must be available for officials of the Department of Homeland Security to review upon request.**

5. **Coordination with Urban Area Working Group (UAWG).** Those transit systems located in urban areas that were recipients of UASI I or II Grant Program funds must coordinate their emergency plans with the UAWG. A copy of the transit system's grant program proposal and budget plan should be shared with the UAWG. Any training or exercises conducted with UASI Transit System Security Grant funds should also be coordinated with the UAWG. Sharing of information and coordination of activities is expected to continue, at a minimum, throughout the period of performance for the UASI Grant Program.

6. **Compliance with the National Incident Management System.**
Pursuant to the Homeland Security Act of 2002, the Secretary of Homeland Security is the principal federal official for domestic incident management. Consequently, and according to the Homeland Security Presidential Directive/HSPD-5, the Secretary shall develop and administer

a National Incident Management System, (NIMS). This system will provide a consistent nationwide approach for Federal, State, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system; multi-agency coordination systems; unified command; training; identification and management of resources (including systems for classifying types of resources); qualifications and certification; and the collection, tracking, and reporting of incident information and incident resources.

As mandated by HSPD-5, beginning in FY 2005, adoption of the NIMS will be a requirement for receipt of grant funds from ODP. As such, ODP encourages transit systems receiving funding under the UASI Transit Security Grant Program to begin utilizing NIMS concepts, principles, terminology, and technologies as they are made available by DHS, and to use the incident command system (ICS) as taught by ODP and the National Fire Academy. Grantees should institutionalize the use of ICS across their entire response system by the end of the two-year performance period.

Applications for funding under this program must be submitted by August 28, 2003, or within 45 days of July 14, 2003, the date the solicitation is being posted in OJP's web-based Grants Management System (GMS).

C. Authorized Program Expenditures (Detailed in Appendix B)

1. **Planning:** Funds may be used for the development, implementation, and evaluation of plans, procedures, and protocols for transit security and emergency preparedness such as: 1) threat and vulnerability assessments; 2) emergency preparedness plans; 3) coordination and communication with other agencies, to include the UASI Urban Area Working Group; 4) enhancement or establishment of mutual aid agreements; 5) enhancement or development of emergency operations plans and operating procedures; 6) development or enhancement of recovery plans; 7) development of communication and interoperability protocols and solutions; 8) coordination of passenger preparedness plans and programs 9) enhancement or development of continuity of operations and continuity of government plans; and 10) hiring of full or part-time staff or contractors or consultants to assist with any of the above activities.

2. **Equipment Acquisition:** Funds may be used to enhance the capabilities of transit systems through the acquisition of equipment such as:

1) personal protective equipment (PPE); 2) explosive device mitigation and remediation equipment; 3) CBRNE search and rescue equipment; 4) interoperable communications equipment; 5) detection equipment; 6) decontamination equipment; 7) physical security enhancement equipment; 8) terrorism incident prevention equipment; 9) CBRNE logistical support equipment; 10) CBRNE incident response vehicles; 11) medical supplies and limited types of pharmaceuticals; and, 12) CBRNE reference materials.

These funds may also be used for sustainment of prevention and response equipment that would be used in a transit system's response to a terrorist threat or event. This includes repair and replacement parts, equipment warranties and maintenance contracts for equipment purchased under any ODP grant. Training in the use of equipment procured using these grant funds is also allowed and should be addressed in the program narrative.

This equipment may be used by the transit systems to enhance capabilities in the areas of law enforcement, emergency medical services, emergency management, fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health in accordance with the authorized mission of the transit system, and the goals and objectives identified in the transit system assessment.

Other allowable uses of funds include measures associated with target hardening and critical infrastructure security, such as physical barricades, video surveillance, motion detectors, thermal/IR imagery and chemical/radiological material detection systems.

Grant funds may also be used to share critical information such as 1) systems to disseminate and safeguard threat information, and 2) alert notification systems.

Grant funds may also be used for emergency mapping systems that will identify, create, analyze, and monitor mass transit infrastructure subway segments. Such mapping systems should be captured by software applications that can be used by transit agencies and first responders.

3. **Training:** Funds may be used to enhance the capabilities of transit systems through the development of a training program or the delivery of existing ODP courses. Allowable expenses include: 1) development and/or establishment of CBRNE prevention and response training courses, which should be institutionalized within existing training academies, universities or junior colleges. These courses must be consistent with ODP and FTA prevention and response training guidelines

and reviewed and approved by ODP; 2) backfill costs to replace personnel who are attending ODP-approved courses, to include those offered by the Transportation Safety Institute (TSI) and the National Training Institute (NTI) that are applicable to the purposes for which these grant funds were made available; 3) overtime costs for responders who attend ODP-approved training courses; and 4) travel costs associated with planning or attending ODP-approved training. Transit systems should work to develop and implement a sustainable system for maintaining and perpetuating training within all response disciplines.

The target audience for training courses funded through the FY 2003 UASI Transit Security Grant Program includes emergency responders such as transit security officers, transit police, emergency managers, firefighters, and emergency medical services personnel, and transit system operators, maintenance workers, managers, and other personnel with responsibilities for emergency preparedness and response. Grantees using these funds to develop their own courses should address the critical training areas and gaps identified in the transit system assessment or emergency preparedness plan and must adhere to the ODP Emergency Responder Guidelines, which may be found at: http://www.ojp.usdoj.gov/odp/whatsnew/whats_new.htm.

4. **Exercises:** Funds to be used for exercises may be used to plan for, design, develop, conduct, and evaluate exercises that train emergency responders and other appropriate personnel, such as operators and maintenance workers, to assess the readiness of transit systems for preventing and responding to a terrorist attack. Exercises must be threat- and performance-based, in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals, or FTA guidelines, which are scheduled to be published in the Fall, 2003.   FTA materials will be available online at http://www.fta.dot.gov and will be consistent with ODP policies. These manuals will provide explicit direction on the design, conduct, and evaluation of terrorism exercises. Exercises conducted with ODP support (grant funds or direct support) must be managed and executed in accordance with the HSEEP. Those transit systems located in urban areas that received grant funds under the UASI I or II Grant Program must coordinate exercises with the UASI Urban Area Working Group.

Allowable exercise-related costs include: 1) expenses related to convening an exercise planning workshop; 2) hiring of full or part-time staff or contractors/ consultants to support exercise activities; 3) overtime for first response/exercise management personnel involved in the planning and conducting of exercises; 4) travel associated with planning and conducting exercises; 5) supplies consumed during the course of planning and conducting exercises; 6) costs related to the implementation of the

HSEEP to include the reporting of scheduled exercises and the tracking and reporting of after action reports and corrective actions from exercises; and, 7) other costs related to the planning and conducting of exercise activities.

5. **Operational Activities**: Grantees may use up to 10% of the gross amount of their UASI Transit Security Grant award for 1) public safety agency overtime costs; and 2) contract security personnel costs to augment security at critical infrastructure during the period of hostilities with Iraq and future periods of heightened threat. Included are the specific ORANGE threat alert level beginning on February 7, 2003, and ending on February 27, 2003, beginning again on March 17, 2003, and ending on April 16, 2003, and beginning again on May 20, 2003, and ending on May 30, 2003. Guidance on the use of funds for future periods of heightened threat, should these arise, will be provided. Reimbursement is available only for costs incurred during these time periods.

D.   Unauthorized Program Expenditures

Unauthorized program expenditures include: 1) expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general use computers and related equipment, general-use vehicles, licensing fees, weapons systems and ammunition; 2) activities unrelated to the completion and implementation of the UASI Transit System Security Grant Program; 3) other items not in accordance with the Authorized Equipment List or previously listed as allowable costs; and 4) construction projects.

III. Eligible Applicants and Funding Availability

Funding for the FY 2003 UASI Transit System Security Grant Program will be provided to selected high threat mass transit systems in the country.   A list of eligible applicants follows:

FISCAL YEAR 2003 UASI TRANSIT SYSTEM SECURITY GRANT
PROGRAM FUNDING ALLOCATIONS

Transit System	Amount
New York City Transit	$26,662,867
Chicago Transit Authority	$5,117,019
Los Angeles Metropolitan Transportation Authority	$4,577,600
Massachusetts Bay Transportation Authority	$3,783,396
Washington Metropolitan Area Transit Authority	$3,709,839
Southeastern Pennsylvania Transportation Authority	$3,388,959
San Francisco Municipal Railway	$2,411,395

New Jersey Transit Corporation	$2,346,366
Metropolitan Atlanta Rapid Transit Authority	$1,781,362
New York City Department of Transportation	$1,389,057
Mass Transit Administration – Maryland DOT	$1,225,952
Long Island Railway	$1,120,414
King County Department of Transportation (WA)	$1,098,027
Metropolitan Transit Authority of Harris County (TX)	$1,062,847
San Francisco Bay Area Rapid Transit District	$976,498
Tri-County Metropolitan Transportation (OR)	$926,394
Miami-Dade Transit	$896,544
Port Authority Trans-Hudson Corporation (NY/NJ)	$877,356
Regional Transportation District (CO)	$825,119
Port Authority of Allegheny County (PA)	$822,987
TOTAL:	**$65,000,000**

IV.   Application Guidance

Applications need to be prepared according to the directions contained in Section IV and Section V of this booklet.

ODP only accepts applications electronically through the Grant Management System (GMS) located on the Office of Justice Programs (OJP) web site. Instructions regarding electronic submissions through GMS are provided on the OJP web site at www.ojp.usdoj.gov/fundopps.htm. Assistance with GMS may also be obtained by contacting ODP at: 1-800-368-6498.

Questions regarding the application process, programmatic matters, and other administrative inquiries relating to the FY 2003 UASI Transit System Security Grant Program can be directed to the ODP Helpline at 1-800-368-6498.

V.   Application Requirements

A.   **On-Line Application:** The on-line application must be completed and submitted by the applicant using the OJP GMS system described above. This on-line application replaces the following previously required paper forms:

·   Standard Form 424, Application for Federal Assistance

·   Program Narrative

·   Budget Narrative

·   Standard Form LLL, Disclosure of Lobbying Activities

·   OJP Form 4000/3, Assurances

·   OJP Form 4061/6, Certifications

·   Non-Supplanting Certification

B.   Supplemental Documents:

1. **Point of Contact**: The grantee must also provide the name and contact information for the point of contact (POC) for the grant application.

2. **Program Narrative**: The program narrative should present a clear and comprehensive description of what the grantee intends to accomplish with the grant funds. The following elements should be a part of the program narrative:

   ·   Proposed project(s) details

   ·   Description of how the project(s) will address the critical security vulnerabilities identified in previous risk assessments

   ·   Impact of not implementing the proposed project(s).

3. **Budget Narrative:** Applicants must provide itemized budget information including budget detail worksheets (Example at **Appendix C**) indicating how all funds will be expended in accordance with the authorized program uses. Any proposed projects outside the authorized program uses will be disallowed.

When completing the on-line application, applicants should identify their submissions as new, non-construction applications. These grants are offered by the U.S. Department of Homeland Security. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "Office for Domestic Preparedness Fiscal Year 2003 Urban Areas Security Initiative." When referring to this title, please use the following CFDA number: 16.011. ***The project period will be for a period not to exceed 24 months.***

C.   Freedom of Information Act (FOIA): ODP recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information is subject to requests made pursuant to the Freedom of Information Act, 5. U.S.C. §552 (FOIA), all determinations concerning the release of information of this nature will be made on a case-by-

case basis by the DHS Departmental Disclosure Officer, and may well likely fall within one or more of the available exemptions under the Act.

Applicants are also encouraged to consult their own state and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. At the same time, applicants should be aware that any information created exclusively for the purpose of applying for and monitoring grants hereunder is the property of the U.S. Government, and shall not otherwise be disclosed or released pursuant to state or local law or regulation.

VI. Administrative Requirements

A.   **Single Point of Contact (SPOC) Review:** Executive Order 12372 requires applicants from state and local units of government or other organizations providing services within a state to submit a copy of the application to the state SPOC, if one exists, and to provide notice if this program has been selected for review by the state. Applicants must contact their state SPOC to determine if the program has been selected for state review. The date that the application was sent to the SPOC or the reason such submission is not required should be provided.

B.   **Financial Requirements**

1. Non-Supplanting Certification: This certification, which is a required component of the on-line application, affirms that federal funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review as well as in the pre-award review, post-award monitoring, and the audit. Applicants or grantees may be required to supply documentation certifying that a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

2. Match Requirement: None

3. Assurances: The on-line application includes a list of assurances that the applicant must comply with in order to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. Applicants will be agreeing to these assurances when submitting an application on-line through GMS.

4. Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement: This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 69, New Restrictions on Lobbying, and 28 CFR part 67, Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Homeland Security in awarding grants.

5. Suspension or Termination of Funding: DHS may suspend or terminate funding, in whole or in part, or other measures may be imposed for any of the following reasons:

·   Failing to comply with the requirements or statutory objectives of federal law.

·   Failing to make satisfactory progress toward the goals or objectives set forth in this application.

·   Failing to follow grant agreement requirements or special conditions.

·   Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.

·   Failing to submit required reports.

·   Filing a false certification in this application or other report or document.

Before taking action, ODP will provide the grantee reasonable notice of intent to impose measures and will make efforts to resolve the problem informally.

VII. Reporting Requirements

The following reports are required of all program participants:

·   **Financial Status Reports (Standard Form 269A):** Financial Status Reports are due within 45 days of the end of each calendar quarter. A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods

11

where no grant activity occurs (see **Appendix D**). The OJP OC will provide a copy of this form in the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent. The final financial report is due 120 days after the end date of the award period.

·   **Program Progress Reports:** Program Progress Reports are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. ***Guidance on specific topics to be addressed is included in Appendix D.*** The OJP OC will provide a copy of this form in the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent. The final programmatic progress report is due 120 days after the end date of the award period.

·   **Financial and Compliance Audit Report:** Recipients that expend $300,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards and OMB Circular A-133. Audit reports are currently due to the Federal Audit Clearinghouse no later than 9 months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of the FY 2003 UASI Transit System Security Grant Program for audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the grant.

Appendix A

Funding Allocations

FISCAL YEAR 2003 UASI TRANSIT SYSTEM SECURITY GRANT PROGRAM FUNDING ALLOCATIONS

Transit System	Amount
New York City Transit	$26,662,867
Chicago Transit Authority	$5,117,019
Los Angeles Metropolitan Transportation Authority	$4,577,600
Massachusetts Bay Transportation Authority	$3,783,396
Washington Metropolitan Area Transit Authority	$3,709,839
Southeastern Pennsylvania Transportation Authority	$3,388,959
San Francisco Municipal Railway	$2,411,395
New Jersey Transit Corporation	$2,346,366
Metropolitan Atlanta Rapid Transit Authority	$1,781,362
New York City Department of Transportation	$1,389,057
Mass Transit Administration – Maryland DOT	$1,225,952
Long Island Railway	$1,120,414
King County Department of Transportation (WA)	$1,098,027
Metropolitan Transit Authority of Harris County (TX)	$1,062,847
San Francisco Bay Area Rapid Transit District	$976,498
Tri-County Metropolitan Transportation (OR)	$926,394
Miami-Dade Transit	$896,544
Port Authority Trans-Hudson Corporation (NY/NJ)	$877,356
Regional Transportation District (CO)	$825,119
Port Authority of Allegheny County (PA)	$822,987
TOTAL:	**$65,000,000**

Appendix B

Allowable Planning, Equipment, Training, Exercise, and Operational Costs

I. Allowable Planning Costs

Funds to be used for planning may be used for activities associated with the development, implementation, and evaluation of plans, procedures, and protocols for transit security and emergency preparedness such as: 1) threat and vulnerability assessments; 2) emergency preparedness plans; 3) coordination and communication with other agencies, to include the UASI Urban Area Working Group; 4) enhancement or establishment of mutual aid agreements; 5) enhancement or development of emergency operations plans and operating procedures; 6) development or enhancement of recovery plans; 7) development of communication and interoperability protocols and solutions; 8) coordination of passenger preparedness plans and programs; 9) enhancement or development of continuity of operations and continuity of government plans; and 10) hiring of full or part-time staff or contractors or consultants to assist with any of the above activities.

II. Allowable Equipment Costs

Funds may be used to enhance the capabilities of transit systems through the acquisition of equipment such as: 1) personal protective equipment (PPE); 2) explosive device mitigation and remediation equipment; 3) CBRNE search and rescue equipment; 4) interoperable communications equipment; 5) detection equipment; 6) decontamination equipment; 7) physical security enhancement equipment; 8) terrorism incident prevention equipment; 9) CBRNE logistical support equipment; 10) CBRNE incident response vehicles; 11) medical supplies and limited types of pharmaceuticals; and, 12) CBRNE reference materials.

These funds may also be used for sustainment of prevention and response equipment that would be used in a transit system's response to a terrorist threat or event. This includes repair and replacement parts, equipment warranties and maintenance contracts for equipment purchased under any ODP grant. Training in the use of equipment procured using these grant funds is also allowed and should be addressed in the program narrative.

This equipment may be used by the transit systems to enhance capabilities in the areas of law enforcement, emergency medical services, emergency management, fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health in accordance with the authorized mission of the transit system, and the goals and objectives identified in the transit system assessment.

Other allowable uses of funds include measures associated with target hardening and critical infrastructure security, such as physical barricades, video

surveillance, motion detectors, thermal/IR imagery and chemical/radiological material detection systems.

Grant funds may also be used to share critical information such as 1) systems to disseminate and safeguard threat information, and 2) alert notification systems.

Grant funds may also be used for emergency mapping systems that will identify, create, analyze, and monitor mass transit infrastructure subway segments. Such mapping systems should be captured by software applications that can be used by transit agencies and first responders.

1. Personal Protective Equipment - Equipment worn to protect the individual from hazardous materials and contamination. Levels of protection vary and are divided into three categories based on the degree of protection afforded. The following constitutes equipment intended for use in a chemical/biological threat environment:

Level A. Fully encapsulated, liquid and vapor protective ensemble selected when the highest level of skin, respiratory and eye protection is required. The following constitutes Level A equipment for consideration:

- Fully Encapsulated Liquid and Vapor Protection Ensemble, reusable or disposable (tested and certified against CB threats)
- Fully Encapsulated Training Suits
- Closed-Circuit Rebreather (minimum 2-hour supply, preferred), or open-circuit Self-Contained Breathing Apparatus (SCBA) or, when appropriate, Air-Line System with 15-minute minimum escape SCBA
- Spare Cylinders/Bottles for rebreathers or SCBA and service/repair kits
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment needed for
  maintaining body core temperature within acceptable limits
  Hardhat/helmet
- Chemical/Biological Protective Undergarment
- Inner Gloves
- Approved Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

Level B. Liquid splash resistant ensemble used with highest level of respiratory protection. The following constitute Level B equipment and should be considered for use:

- Liquid Splash Resistant Chemical Clothing, encapsulated or non-encapsulated
- Liquid Splash Resistant Hood
- Closed-Circuit Rebreather (minimum 2-hour supply, preferred),

open-circuit SCBA, or when appropriate, Air-Line System with 15-minute minimum escape SCBA
- Spare Cylinders/Bottles for rebreathers or SCBA and service/repair kits
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment needed for maintaining body core temperature within acceptable limits
- Hardhat/helmet
- Chemical/Biological Protective Undergarment
- Inner Gloves
- Approved Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

Level C. Liquid splash resistant ensemble, with same level of skin protection of Level B, used when the concentration(s) and type(s) of airborne substances are known and the criteria for using air-purifying respirators are met. The following constitute Level C equipment and should be considered for use:

- Liquid Chemical Splash Resistant Clothing (permeable or non-permeable)
- Liquid Chemical Splash Resistant Hood (permeable or non-permeable)
- Tight-fitting, Full Facepiece, Negative Pressure Air Purifying Respirator with the appropriate cartridge(s) or canister(s) and P100 filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
- Tight-fitting, Full Facepiece, Powered Air Purifying Respirator (PAPR) with chemically resistant hood with appropriate cartridge(s) or canister(s) and high-efficiency filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
- Equipment or system batteries will include those that are rechargeable (e.g. NiCad) or non-rechargeable with extended shelf life (e.g. Lithium)
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment
- Hardhat
- Inner Chemical/Biological Resistant Garment
  Inner Gloves
- Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

Level D. Selected when no respiratory protection and minimal skin protection is required, and the atmosphere contains no known hazard and work functions preclude splashes, immersion, or the potential for unexpected inhalation of, or contact with, hazardous levels of any chemicals.

- Escape mask for self-rescue

Note: During CBRNE response operations, the incident commander determines the appropriate level of personal protective equipment. As a guide, Levels A, B, and C are applicable for chemical/biological/radiological contaminated environments. Personnel entering protective postures must undergo medical monitoring prior to and after entry.

All SCBAs should meet standards established by the National Institute for Occupational Safety and Health (NIOSH) for occupational use by emergency responders when exposed to Chemical, Biological, Radiological and Nuclear (CBRN) agents in accordance with Special Tests under NIOSH 42 CFR 84.63(c), procedure number RCT-CBRN-STP-0002, dated December 14, 2001.

Grant recipients should purchase: 1) protective ensembles for chemical and biological terrorism incidents that are certified as compliant with Class 1, Class 2, or Class 3 requirements of National Fire Protection Association (NFPA) 1994, Protective Ensembles for Chemical/Biological Terrorism Incidents; 2) protective ensembles for hazardous materials emergencies that are certified as compliant with NFPA 1991, Standard on Vapor Protective Ensembles for Hazardous Materials Emergencies, including the chemical and biological terrorism protection; 3) protective ensembles for search and rescue or search and recovery operations where there is no exposure to chemical or biological warfare or terrorism agents and where exposure to flame and heat is unlikely or nonexistent that are certified as compliant with NFPA 1951, Standard on Protective Ensemble for USAR Operations; and, 4) protective clothing from blood and body fluid pathogens for persons providing treatment to victims after decontamination that are certified as compliant with NFPA 1999, Standard on Protective Clothing for Emergency Medical Operations. For more information regarding these standards, please refer to the following web sites:
The National Fire Protection Association - http://www.nfpa.org
National Institute for Occupational Safety and Health - http://www.cdc.gov/niosh

2. Explosive Device Mitigation and Remediation - Equipment providing for the mitigation and remediation of explosive devices in a CBRNE environment:

- Bomb Search Protective Ensemble for Chemical/Biological Response
- Chemical/Biological Undergarment for Bomb Search Protective Ensemble
- Cooling Garments to manage heat stress
- Ballistic Threat Body Armor (not for riot suppression)
- Ballistic Threat Helmet (not for riot suppression)
- Blast and Ballistic Threat Eye Protection (not for riot suppression)
- Blast and Overpressure Threat Ear Protection (not for riot suppression)
- Fire Resistant Gloves
- Dearmer/Disrupter
- Real Time X-Ray Unit; Portable X-Ray Unit

- CBRNE Compatible Total Containment Vessel (TCV)
- CBRNE Upgrades for Existing TCV
- Robot; Robot Upgrades
- Fiber Optic Kit (inspection or viewing)
- Tents, standard or air inflatable for chem/bio protection
- Inspection mirrors
- Ion Track Explosive Detector

3. CBRNE Search and Rescue Equipment - Equipment providing a technical search and rescue capability for a CBRNE environment:

- Hydraulic tools; hydraulic power unit
- Listening devices; hearing protection
- Search cameras (including thermal and infrared imaging)
- Breaking devices (including spreaders, saws and hammers)
- Lifting devices (including air bag systems, hydraulic rams, jacks, ropes and block and tackle)
- Blocking and bracing materials
- Evacuation chairs (for evacuation of disabled personnel)
- Ventilation fans

4. Interoperable Communications Equipment - Equipment and systems providing connectivity and electrical interoperability between local and interagency organizations to coordinate CBRNE response operations:

- Land Mobile, Two-Way In-Suit Communications (secure, hands-free, fully duplex, optional), including air-to-ground capability (as required)
- Antenna systems
- Personnel Alert Safety System (PASS) - (location and physiological monitoring systems optional)
- Personnel Accountability Systems
- Individual/portable radios, software radios, portable repeaters, radio interconnect systems, satellite phones, batteries, chargers and battery conditioning systems
- Computer systems designated for use in an integrated system to assist with detection and communication efforts (must be linked with integrated software packages designed specifically for chemical and/or biological agent detection and communication purposes)
- Portable Meteorological Station (monitors temperature, wind speed, wind direction and barometric pressure at a minimum)
- Computer aided dispatch system
- Commercially available crisis management software
- Mobile Display Terminals

Note: In an effort to improve public safety interoperability, all new or upgraded radio systems and new radio equipment should be compatible with a suite of

*standards called ANSI/TIA/EIA-102 Phase I (Project 25). These standards have been developed to allow for backward compatibility with existing digital and analog systems and provide for interoperability in future systems. The FCC has chosen the Project 25 suite of standards for voice and low-moderate speed data interoperability in the new nationwide 700 MHZ frequency band and the Integrated Wireless Network (IWN) of the U.S. Justice and Treasury Departments has chosen the Project 25 suite of standards for their new radio equipment. **In an effort to realize improved interoperability, all radios purchased under this grant should be APCO 25 compliant.***

5. Detection Equipment - Equipment to sample, detect, identify, quantify, and monitor for chemical, biological, radiological/nuclear and explosive agents throughout designated areas or at specific points:

Chemical

- M-8 Detection Paper for chemical agent identification
- M-9 Detection Paper (roll) for chemical agent (military grade) detection
- M-256 Detection Kit for Chemical Agent (weapons grade—blister: CX/HD/L; blood: AC/CK; and nerve: GB/VX) detection
- M-256 Training Kit
- M-18 Series Chemical Agent Detector Kit for surface/vapor chemical agent analysis
- Hazard Categorizing (HAZCAT) Kits
- Photo-Ionization Detector (PID)
- Flame Ionization Detector (FID)
- Surface Acoustic Wave Detector
- Gas Chromatograph/Mass Spectrometer (GC/MS)
- Ion Mobility Spectrometry
- Stand-Off Chemical Detector
- M-272 Chemical Agent Water Test Kit
- Colormetric Tube/Chip Kit specific for TICs and CBRNE applications
- Multi-gas Meter with minimum of O2 and LEL
- Leak Detectors (soap solution, ammonium hydroxide, etc)
- pH Paper/pH Meter
- Waste Water Classifier Kit
- Oxidizing Paper
- Protective cases for sensitive detection equipment storage & transport

Biological

Point Detection Systems/Kits (Immunoassay or other technology)

Radiological/Nuclear

- Radiation detection equipment (electronic or other technology that detects

alpha, beta, gamma, and high intensity gamma)
- Personal Dosimeter
- Scintillation Fluid (radiological) pre-packaged
- Radiation monitors

Explosive

- Canines (initial acquisition, initial operational capability only)

6. Decontamination Equipment - Equipment and material used to clean, remediate, remove or mitigate chemical and biological contamination:

Chemical

- Decontamination system for individual and mass application with environmental controls, water heating system, showers, lighting, and transportation (trailer)
- Decon Litters/roller systems
- Extraction Litters, rollable
- Runoff Containment Bladder(s), decontamination shower waste collection with intrinsically-safe evacuation pumps, hoses, connectors, scrub brushes, nozzles
- Spill Containment Devices
- Overpak Drums
- Non-Transparent Cadaver Bags (CDC standard)
- Hand Carts
- Waste water classification kits/strips

Biological

- HEPA (High Efficiency Particulate Air) Vacuum for dry decontamination

7. Physical Security Enhancement Equipment - Equipment to enhance the physical security of critical infrastructure.

Surveillance, Warning, Access/Intrusion Control

Ground

- Motion Detector Systems: Acoustic; Infrared; Seismic; Magnetometers
- Barriers: Fences; Jersey Walls
- Impact Resistant Doors and Gates
- Portal Systems; locking devices for access control
- Alarm Systems
- Video Assessment/Cameras: Standard, Low Light, IR, Automated Detection

Personnel Identification: Visual; Electronic; Acoustic; Laser; Scanners; Cyphers/Codes
- X-Ray Units
- Magnetometers
- Vehicle Identification: Visual; Electronic; Acoustic; Laser; Radar

Waterfront
- Radar Systems
- Video Assessment System/Cameras: Standard, Low Light, IR, Automated Detection
- Diver/Swimmer Detection Systems; Sonar
- Impact Resistant Doors and Gates
- Portal Systems
- Hull Scanning Equipment
- Plus all those for Ground

Sensors – Agent/Explosives Detection

- Chemical: Active/Passive; Mobile/Fixed; Handheld
- Biological: Active/Passive; Mobile/Fixed; Handheld
- Radiological
- Nuclear
- Ground/Wall Penetrating Radar

Inspection/Detection Systems

- Vehicle & Cargo Inspection System – Gamma-ray
- Mobile Search & Inspection System – X-ray
- Non-Invasive Radiological/Chem/Bio/Explosives System – Pulsed Neutron Activation

Explosion Protection

- Blast/Shock/Impact Resistant Systems
- Protective Clothing
- Column and Surface Wraps; Breakage/Shatter Resistant Glass; Window Wraps
- Robotic Disarm/Disable Systems

8. Terrorism Incident Prevention Equipment (Terrorism Early Warning, Prevention, and Deterrence Equipment and Technologies) - Local public safety agencies will increasingly rely on the integration of emerging technologies and equipment to improve urban area capabilities to deter and prevent terrorist incidents. This includes, but is not limited to, equipment and associated components that enhance an urban area's ability to disseminate advanced warning information to prevent a terrorist incident or disrupt a terrorist's ability to

carry out the event, including information sharing, threat recognition, and public/private sector collaboration.

- · Data collection/information gathering software
- · Data synthesis software
- · Geographic Information System information technology and software
- · Law enforcement surveillance equipment

9. CBRNE Logistical Support Equipment - Logistical support gear used to store and transport the equipment to the CBRNE incident site and handle it once onsite. This category also includes small support equipment including intrinsically safe (non-sparking) hand tools required to support a variety of tasks and to maintain equipment purchased under the grant as well as general support equipment intended to support the CBRNE incident response:

- · Equipment trailers
- · Weather-tight containers for equipment storage
- · Software for equipment tracking and inventory
- · Handheld computers for Emergency Response applications
- · Small Hand tools
- · Binoculars, head lamps, range finders and spotting scopes (not for weapons use)
- · Small Generators to operate light sets, water pumps for decontamination sets
- · Light sets for nighttime operations/security
- · Electrical Current detectors
- · Equipment harnesses, belts, and vests
- · Isolation containers for suspected chemical/biological samples
- · Bull horns
- · Water pumps for decontamination systems
- · Bar code scanner/reader for equipment inventory control
- · Badging system equipment and supplies
- · Cascade system for refilling SCBA oxygen bottles
- · SCBA fit test equipment and software to conduct flow testing
- · Testing Equipment for fully encapsulated suits
- · Cooling/Heating/Ventilation Fans (personnel and decontamination tent use)
- · HAZMAT Gear Bag/Box

10. CBRNE Incident Response Vehicles - This category includes special-purpose vehicles for the transport of CBRNE response equipment and personnel to the incident site. Licensing and registration fees are the responsibility of the jurisdiction and are not allowable under this grant. In addition, general purpose vehicles (squad cars, executive transportation, etc.), fire apparatus, and tactical/armored assault vehicles are not allowable. Allowable vehicles include:

- Mobile command post vehicles
- Hazardous materials (HazMat) response vehicles
- Bomb response vehicles
- Prime movers for equipment trailers
- 2-wheel personal transport vehicles for transporting fully suited bomb technicians, Level A/B suited technicians to the Hot Zone
- Multi-wheeled all terrain vehicles for transporting personnel and equipment to and from the Hot Zone

11. Medical Supplies and Pharmaceuticals - Medical supplies and pharmaceuticals required for response to a CBRNE incident. Grantees are responsible for replenishing items after shelf-life expiration date(s).

Medical Supplies

- Automatic Biphasic External Defibrillators and carry bags
- Equipment and supplies for establishing and maintaining a patient airway at the advanced life support level (to include OP and NG airways; ET tubes, styletes, blades, and handles; portable suction devices and catheters; and stethoscopes for monitoring breath sounds)
- Blood Pressure Cuffs
- IV Administration Sets (Macro and Micro) and Pressure Infusing Bags
- IV Catheters (14, 16, 18, 20, and 22 gauge)
- IV Catheters (Butterfly 22, 24 and 26 gauge)
- Manual Biphasic Defibrillators (defibrillator, pacemaker, 12 lead) and carry bags
- Eye Lense for Lavage or Continuous Medication
- Morgan Eye Shields
- Nasogastric Tubes
- Oxygen administration equipment and supplies (including bag valve masks; rebreather and non-rebreather masks, and nasal cannulas; oxygen cylinders, regulators, tubing, and manifold distribution systems; and pulse oximetry, Capnography & CO_2 detection devices)
- Portable Ventilator
- Pulmonary Fit Tester
- Syringes (3cc and 10cc)
- 26 ga ½" needles (for syringes)
- 21 ga. 1 ½ " needles (for syringes)
- Triage Tags and Tarps
- Sterile and Non-Sterile dressings, all forms and sizes
- Gauze, all sizes

Pharmaceuticals

- 2Pam Chloride
- Adenosine

- Albuterol Sulfate .083%
- Albuterol MDI
- Atropine 0.1 & 0.4 mg/ml
- Atropine Auto Injectors
- Benadryl
- CANA Auto Injectors
- Calcium Chloride
- Calcium Gluconate 10%
- Ciprofloxin PO
- Cyanide kits
- Dextrose
- Dopamine
- Doxycycline PO
- Epinephrine
- Glucagon
- Lasix
- Lidocaine
- Loperamide
- Magnesium Sulfate
- Methylprednisolone
- Narcan
- Nubain
- Nitroglycerin
- Normal Saline (500 and 1000 ml bags)
- Potassium Iodide
- Silver Sulfadiazine
- Sodium Bicarbonate
- Sterile Water
- Tetracaine
- Thiamine
- Valium

12. CBRNE Reference Materials - Reference materials designed to assist emergency first responders in preparing for and responding to a CBRNE incident. This includes but is not limited to the following:

- NFPA Guide to hazardous materials
- NIOSH Hazardous Materials Pocket Guide
- North American Emergency Response Guide
- Jane's Chem-Bio Handbook
- First Responder Job Aids
- Choke Point Portal Radiation Detector Generic Standard Operating Procedures

III. Allowable Training Costs

Funds from UASI Grant Program II grants may be used to enhance the capabilities of transit systems through the enhancement or development of an urban area homeland security training program, or delivery of existing ODP courses. Allowable training-related costs include: 1) development and/or establishment of CBRNE training courses, which should be institutionalized within existing training academies, universities or junior colleges. These courses must be consistent with ODP and FTA prevention and response training guidelines and reviewed and approved by ODP; 2) backfill costs to replace personnel who are attending ODP-approved courses, to include those offered by the Transportation Safety Institute (TSI) and the National Training Institute (NTI) that are applicable to the purposes for which these grant funds were made available; 3) overtime costs for personnel who attend ODP-approved training courses, and 4) travel costs associated with planning or attending ODP-approved training.

The target audience for training courses funded through the FY 2003 UASI Transit Security Grant Program includes emergency responders such as transit security officers, transit police, emergency managers, firefighters, and emergency medical services personnel, and transit system operators, maintenance workers, managers, and other personnel with responsibilities for emergency preparedness and response. Grantees using these funds to develop their own courses should address the critical training areas and gaps identified in the transit system assessment or emergency preparedness plan and must adhere to the ODP Emergency Responder Guidelines, which may be found at: http://www.ojp.usdoj.gov/odp/whatsnew/whats_new.htm.

IV. Allowable Exercise Costs

Funds from UASI Grant Program II grants may be used to plan for, design, develop, conduct, and evaluate exercises that train emergency responders and other appropriate personnel, such as transit system operators and maintenance workers, to assess the readiness of mass transit system to prevent and respond to a terrorist attack. Exercises must be threat and performance-based, in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals, and FTA guidelines scheduled to be published in the Fall, 2003. FTA materials will be available at http://fta.dot.gov, and will be consistent with ODP policies. These manuals will provide explicit direction on the design, conduct and evaluation of terrorism exercises. Exercises conducted with ODP support (grant funds or direct support) must be managed and executed in accordance with the HSEEP. Those transit systems located inn urban areas that received grant funds under the UASI I or II Grant Progam must coordinate exercises with the UASI Urban Area Working Group.

Allowable exercise-related costs include:

1. Exercise Planning Workshop - Grant funds may be used to plan and conduct an 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.

2. Full or Part-Time Staff or Contractors/Consultants - Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the unit(s) of local government and have the approval of the awarding agency. The services of contractors/consultants may also be procured by the transit system in the design, development, conduct and evaluation of CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

3. Overtime - Payment of overtime expenses will be for work performed by award employees in excess of the established work week (usually 40 hours). Further, overtime payments are allowed only to the extent the payment for such services is in accordance with the established policies of the transit system. In no case is dual compensation allowable. That is, an employee may not receive compensation from their agency AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm). Fringe benefits on overtime hours are limited to FICA, Workman's Compensation and Unemployment Compensation.

4. Travel - Travel costs (i.e., 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 exercise project(s). These costs must be in accordance with either the federal or an organizationally-approved travel policy.

5. Supplies - Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).

6. Implementation of the HSEEP - Costs related to setting up and maintaining a system to track the completion and submission of After Action Reports (AAR) and the implementation of Corrective Action Plans (CAP) from exercises, which may include costs associated with meeting with local jurisdictions to define procedures. *(Note: ODP is developing a national information system for the scheduling of exercises and the tracking of AAR/CAPs to reduce the burden on the localities and to facilitate national assessments of preparedness.)*

7. Other Items - These costs include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.

V.   Operational Activities

Grantees may use up to 10% of the gross amount of their UASI Transit Security Grant award for 1) public safety agency overtime costs; and 2) contract security personnel costs to augment security at critical infrastructure during the period of hostilities with Iraq and future periods of heightened threat. Included are the specific ORANGE threat alert level beginning on February 7, 2003, and ending on February 27, 2003, beginning again on March 17, 2003, and ending on April 16, 2003, and beginning again on May 20, 2003, and ending on May 30, 2003. Guidance on the use of funds for future periods of heightened threat, should these arise, will be provided. Reimbursement is available only for costs incurred during these time periods.

Appendix C

Budget Detail Worksheets

Budget Detail Worksheets – In the budget narrative portion of the application, grantees MUST provide detailed budget information for the total allocation of funds provided through the UASI Transit System Security Grant Program. Budget Detail Worksheets similar to the samples provided below should be used to detail the information by authorized program uses. Electronic template Budget Detail Worksheets are available upon request through ODP's toll free number at 1-800-368-6498.

Sample Budget Detail Worksheet for Direct Purchases of Equipment:

Transit System	Category	Item	Quantity	Total Cost	Discipline Allocation**
Transit System Name	PPE	SCBA - 30 min.	10	$500	TO - $250 LE - $250
Transit System Name	Detection	Chemical Agent Monitor	2	$14,000	HZ- $7,000 FS - $7000
Transit System Name	Communications	Radio Interconnect System	3	$150,000	FS - $50,000 LE - $50,000 EMA - $50,000
			Total	$164,500	

** Law Enforcement (LE), Emergency Medical Services (EMS), Emergency Management (EMA), Fire Service (FS), HazMat (HZ), Public Works (PW), Public Health (PH), Governmental Administrative (GA), Public Safety Communications (PSC), Health Care (HC). *For transit systems grantees, use the additional category of transit operators (TO) to identify equipment purchased for these personnel. Also, include security personnel in LE category, include maintenance workers in PW category, and use the category of Other (OTH) for any additional personnel not identified by any of these categories.*

Sample Budget Detail Worksheet for Direct Purchases of Exercise, Training, and Planning

Transit System	Function	Category	Item	Amount
Transit System Name	Training	Overtime	Support attendance at Incident Response to Terrorist Bombings Course	$750
Transit System Name	Exercises	Contractor	Design CBRNE Exercise Program	$130,000
Transit System Name	Planning	Personnel	Develop emergency operations plans	$50,000
			Total	$180,950

Sample Operational Activities Budget Detail Worksheet

Eligible Site	Cost Category	Allocation
Transit System Stations	Security Personnel Overtime	$200,000
	Total	$200,000

Appendix D

Grant Reporting Requirements

Grant Reporting Requirements

I. Financial Status Reports (SF-269A)

A. Reporting Time Line - Financial Status Reports are due within **45** days after the end of each calendar quarter. A report must be submitted for every quarter that the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs (see below).

	Report Period	Report Due By	Report Period	Report Due By	Report Period	Report Due By	Report Period	Report Due By
First Quarter	1/1 - 3/31	5/15						
Second Quarter			4/1 – 6/30	8/14				
Third Quarter					7/1 - 9/30	11/14		
Fourth Quarter							10/1 - 12/31	2/14

II. Categorical Assistance Progress Reports (OJP Form 4587/1)

A. Reporting Time Line - Categorical Assistance Progress Reports are due within **30** days after the end of the reporting periods, which are June 30 and December 31, for the life of the award.

	Report Period	Report Due By	Report Period	Report Due By
First Quarter	1/1 - 6/30	7/30		
Second Quarter				
Third Quarter			7/1 - 12/31	1/31
Fourth Quarter				

B. Additional Information - Grantees must also use Block 12 of *__each__* Categorical Assistance Progress Report to describe progress to date in implementing the grant and its impact on enhancing security of the transit system. Each report must provide an update on the following activities that occurred during the designated reporting period:

1) Describe progress made to date in implementing this grant for each of the areas (planning, equipment, training, exercises, and operational activities).

Planning:
Report hiring of additional staff and activities they have pursued. Additionally, indicate steps taken to facilitate the transit system assessment, development of Transit System Security Strategy, and other planning activities undertaken.

Equipment
If purchasing equipment, report:

·   The total amount of funding that has been obligated by the grantee thus far;
·   The total amount of funding that has been expended by the grantee thus far; and,
·   The percentage of overall equipment (in dollar value) that has been received.

Indicate whether personnel within recipient agencies are sufficiently trained to use grant-funded equipment, and if technical assistance or other training is needed. Any procurement, distribution, or other equipment related problems should also be noted in the progress report.

Training:
Provide information on how training funds have been used. Some relevant information to include is:

·   Are funds being used to develop a comprehensive Homeland Security training program for the transit system, including all appropriate employees?
·   What steps have been identified and taken?
·   Has training staff been hired? What activities are they undertaking?
·   Have funds been provided to state academies, universities, or other institutions to enhance Homeland Security preparedness? How will this impact the number of emergency responders and other employees trained?
·   If funds have been provided to academies, universities, or other institutions, how many individuals have been trained?
·   Are funds being provided to local jurisdictions and city agencies to pay for training courses/overtime?

Provide complete reporting information on the total number of responders within each discipline that received training as a result of this program, either through training conducted within the urban area using UASI GP II

funds, or through delivery of programs of instruction developed under the program. Do not include numbers for responders that received training directly from ODP or its service providers, training data for these individuals will be captured through other processes. (WHAT ABOUT TSI and NTI COURSES?)

Exercises
If using exercise funds to hire State or local level staff/contractors, indicate general activities that have occurred during the reporting period. Describe how the additional staff has contributed to enhancement of exercise programs within the urban area. Relevant questions to address may include:

- What elements of a comprehensive exercise program have been developed?
- What type of coordination has occurred with other agencies?
- What exercises have transit system exercise staff/contractors helped identify, develop, conduct, and/or evaluate?
- If exercises have occurred, how are the post-evaluations being used to identify and address preparedness needs?
- Have actions been taken on any exercise evaluation findings?
- Attach any outstanding after action reports.

Operational Costs:
Report on the expenditure of funds to reimburse for operational costs incurred during the Orange Alerts beginning on February 7, 2003, and ending on February 27, 2003, beginning again on March 17, 2003, and ending on April 16, 2003, and beginning again on May 20,2003, and ending on May 30, 2003. Describe how funds were used and the activities that they are reimbursing. Specifically indicate reimbursement costs for overtime.

2) Additionally, use the Progress Report to:

- Describe progress made to date on achieving the overall security goals and objectives of the transit system.

- Identify other significant activities/initiatives the State and local jurisdictions within the area of the transit system are pursuing to enhance overall preparedness and responder capabilities

- Identify problems encountered regarding the implementation of any component of the project, and any steps taken to resolve these problems/ issues.

·　　If applicable, briefly describe any unique initiatives/promising practices undertaken that may be applicable to other mass transit systems.

·　　If applicable, provide any feedback on the ODP grant process and ODP assistance with program implementation. Identify any other issues or concerns not addressed above.

III. Monthly Obligation and Expenditure Report

On the 15th of every month, each grantee must report on the previous month's obligation and expenditure status of the funding provided through this grant. Grantees must submit this report through e-mail to their ODP Program Manager. Please note a and b from numbers 1 through 5 below should sum to the exact amount of the total grant award. An electronic template is available upon request through ODP's toll free number at 1-800-368-6498.   Please see Appendix X for allowable costs.

1. Funds Budgeted For Planning
     a. Total dollar amount of funds obligated for planning purposes
         • Total dollar amount of funds expended on planning
     b. Total dollar amount of funds not yet obligated for planning purposes

2. Funds Budgeted For Equipment
     a. Total dollar amount of funds obligated for equipment acquisition
         • Total dollar amount of funds expended on equipment acquisition
     b. Total dollar amount of funds not yet obligated for equipment acquisition

3. Funds Used for Training
     a. Total dollar amount of funds obligated for training
         • Total dollar amount of funds expended on training
     b. Total dollar amount of funds not yet obligated for training

4. Funds Used for Exercises
     a. Total dollar amount of funds obligated for exercises
         • Total dollar amount of funds expended on exercises
     b. Total dollar amount of funds not yet obligated for exercises

5.   Funds Used for Operational Activities
     a. Total dollar amount of funds obligated for operational activities
         • Total dollar amount of funds expended on operational activities
     b. Total dollar amount of funds not yet obligated for operational