



U . S . D E P A R T M E N T O F H O M E L A N D S E C U R I T Y

*Office of State and Local Government Coordination and Preparedness*

*Office for Domestic Preparedness*

*Fiscal Year 2005  
Transit Security Grant Program*

*Program Guidelines and Application Kit*



U.S. DEPARTMENT OF HOMELAND SECURITY

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## Foreword

On October 18, 2004, the President signed the Department of Homeland Security (DHS) Appropriations Act of 2005. The 2005 appropriation is a firm commitment from the Administration and Congress to continuing the work necessary to enhance the security of the United States of America against the threat posed by terrorism.

The DHS Appropriations Act of 2005 provides \$150 million for intercity passenger rail transportation, freight rail and transit security grants. This funding allows for the creation of a new program within the Department's Office for Domestic Preparedness (ODP) specifically focused on transportation security, and builds upon the work already underway through ODP's Urban Areas Security Initiative (UASI) and other DHS programs. The Fiscal Year (FY) 2005 Transit Security Grant Program reflects the intent of Congress and the Administration to create a sustainable effort for the protection of critical infrastructure from terrorism, especially explosives and non-conventional threats that would cause major loss of life and severe disruption.

ODP has designed this program in coordination with Federal partner agencies and industry, including the Transportation Security Administration, the United States Coast Guard, and the Information Analysis and Infrastructure Protection Directorate within DHS, the Federal Transit Administration within the Department of Transportation, owners and operators of the Nation's mass transit systems, and the American Public Transportation Association. The FY 2005 Transit Security Grant Program addresses three specific transit modalities: rail transit, intra-city bus transit and ferry systems.

A key element of the FY 2005 program will be the requirement for transit agencies receiving these funds to become fully engaged in the development of regional security solutions to address critical needs in the states and urban areas they serve. This regional approach will ensure that the use of funds provided through this program is consistent with the overall security needs of the region and is fully accounted for in the regional planning process that forms the core of the UASI program.

Above all, DHS is committed to working with the owners and operators of America's critical transit infrastructure as part of the national effort to combat terrorism and secure our homeland.



Michael Chertoff  
Secretary  
Department of Homeland Security

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# I. Eligible Applicants and Funding Availability

## A. Eligible Applicants

The FY 2005 DHS Appropriations Act provided funds for a discretionary grant program to address security and preparedness enhancements for transit systems, as well as freight and inter-city passenger rail. The FY 2005 TSGP addresses the transit system portion of this only. Funding for freight and inter-city passenger rail security projects is being provided through separate programs.

The Act also included funds for a competitive grant program for port security. Because of the close linkage between ferry systems and other transit modalities in many of our Nation’s urban areas, the Department has chosen to make a portion of these funds available through the FY 2005 TSGP to support similar security enhancements for these systems, and to ensure their inclusion in regional security planning efforts.

***The Governor of each state and territory has designated a state administrative agency (SAA) to apply for and administer ODP funds. Accordingly, the relevant SAA is the only agent eligible to apply for the FY 2005 TSGP funds identified in this application kit. In addition, SAAs are responsible for working with the identified ferry systems to submit projects for funding consideration as part of the competitive portion of this application.***

Table 1 below summarizes eligibility for funding through the FY 2005 TSGP.

Table 1. FY 2005 TSGP Funding and Eligibility

Transportation Mode	FY 2005 Funding	Award Type	Eligible Applicants
Rail Transit	\$107,900,000.00	Discretionary	State SAAs
Intra-City Bus	\$22,357,076.00		
Ferry	\$5,000,000.00	Competitive	

## B. Funding Availability

Table 2 below identifies eligible rail transit systems and regional funding allocations. Eligible systems and regional funding allocations were determined using a formula approach. The formula for rail transit included the following factors: ridership, track miles, number of stations and threat.

**Table 2. Eligible Rail Transit Systems and Regional Funding Allocations**

State	Urban Area	Regional Allocation	Eligible System	Eligible Mode
CA	Los Angeles Santa Ana	\$4,800,000	Southern CA Regional Rail Authority	Commuter Rail
			LA County Metro Transportation Auth	Heavy Rail, Light Rail
	Oakland San Francisco San Jose	\$7,075,000	Peninsula Corridor Joint Powers Board	Commuter Rail
			SF Bay Area Rapid Transit District	Heavy Rail
			Altamont Commuter Express Authority	Commuter Rail
			Santa Clara Valley Trans Authority	Light Rail
			San Francisco Municipal Railway	Light Rail, Other Rail (CC)
	Sacramento	\$625,000	Sacramento Regional Transit District	Light Rail
San Diego	\$2,100,000	North San Diego County Transit District	Commuter Rail	
		San Diego Trolley	Light Rail	
CO	Denver	\$600,000	Regional Transportation District	Light Rail
DC/MD/ VA <sup>1</sup>	Washington/National Capital Region	\$12,400,000	Washington Metropolitan Area Transit Authority	Heavy Rail
			MD Trans Admin	Commuter Rail, Heavy Rail, Light Rail
			VA Railway Express	Commuter Rail
FL	Jacksonville	\$300,000	Jacksonville Transportation Authority	Other Rail (AG)
	Miami	\$1,800,000	Tri-County Commuter Rail	Commuter Rail
Miami Dade Trans Auth			Heavy Rail, Other Rail (AG)	
GA	Atlanta	\$2,600,000	Metropolitan Atlanta Rapid Transit Authority	Heavy Rail
IL/IN <sup>2</sup>	Chicago	\$10,950,000	NE Ill Reg Commuter Rail	Commuter Rail
			Chicago Transit Authority	Heavy Rail
			No. Indiana Commuter Transit Dist	Commuter Rail
LA	New Orleans	\$525,000	Regional Transit Authority	Light Rail
MA	Boston	\$9,550,000	Massachusetts Bay Transportation Authority	Commuter Rail, Heavy Rail, Light Rail

<sup>1</sup> The DC SAA will apply for and administer these funds.

<sup>2</sup> The IL SAA will apply for and administer these funds.

State	Urban Area	Regional Allocation	Eligible System	Eligible Mode
MI	Detroit	\$400,000	Detroit Transportation Corp	Other Rail (AG)
MN	Minneapolis	\$500,000	Hiawatha Light Rail Transit	Light Rail
MO	Saint Louis	\$700,000	Bi-State Development Agency	Light Rail
NY	Buffalo	\$525,000	Niagara Frontier Transit Metro System	Light Rail
NY/NJ/CT <sup>3</sup>	New York City Jersey City Newark New Haven	\$37,575,000	Metropolitan Transportation Authority	Commuter Rail, Heavy Rail
			Port Authority of New York and New Jersey	Heavy Rail
			New Jersey Transit Corporation	Light Rail, Commuter Rail
			CT Department of Transportation	Commuter Rail
OH	Cleveland	\$1,175,000	Greater Cleveland Regional Trans Auth	Heavy Rail, Light Rail
OR	Portland	\$1,350,000	Tri-County Metropolitan Transportation District	Light Rail
PA	Pittsburgh	\$1,075,000	Cambria County Transit Authority	Other Rail (IP)
			Port Authority of Allegheny County	Light Rail, Other Rail (IP)
PA/NJ <sup>4</sup>	Philadelphia	\$7,750,000	PA Dept of Transportation	Commuter Rail
			Southeastern Pennsylvania Transportation Authority	Commuter Rail, Heavy Rail, Light Rail
			Port Authority Transit Corp	Heavy Rail
TN	Memphis	\$300,000	Memphis Area Transit Authority	Light Rail
TX	Dallas	\$1,300,000	Dallas Area Rapid Transit	Light Rail
			Trinity Railway Express	Commuter Rail
	Houston	\$825,000	Island Transit	Light Rail
			Metropolitan Transit Auth. Of Harris County	Light Rail
WA	Seattle	\$1,100,000	Central Puget Sound Regional Trans Authority	Commuter Rail
			King County Dept of Trans	Light Rail
			City of Seattle Monorail	Other Rail (MO)

**Note: Transit Systems identified in YELLOW are associated with FY 2004 UASI sites not included in the FY 2005 UASI program.**

**Note: “Other Rail” Includes:**

- Automated Guideway (AG)**
- Cable Car (CC)**
- Inclined Plane (IP)**
- Monorail (MO)**

<sup>3</sup> The NY SAA will apply for and administer these funds.

<sup>4</sup> The PA SAA will apply for and administer these funds.

Table 3 below identifies eligible intra-city bus transit systems and regional funding allocations. Eligible systems and regional funding allocations were determined using a formula approach. The formula for intra-city bus systems was based on ridership.

**Table 3. Eligible Intra-City Bus Systems and Regional Funding Allocations**

State	Urban Area	Regional Allocation	Eligible System
CA	Los Angeles Santa Ana	\$2,175,000	LA County Metro Transportation Auth
			Orange Co. Trans Auth
	Oakland San Francisco San Jose	\$2,025,000	Alameda-Contra Costa Transit District
			San Francisco Municipal Railway
	San Diego	\$550,000	San Diego Transit Corp.
CO	Denver	\$625,000	Regional Transportation District
DC/MD/ VA <sup>5</sup>	Washington/National Capital Region	\$1,200,000	Washington Metropolitan Area Transit Authority
FL	Miami	\$600,000	Miami Dade Trans Auth
GA	Atlanta	\$700,000	Metropolitan Atlanta Rapid Transit Authority
HI	Honolulu	\$675,000	City & County of Honolulu DOT Services
IL/IN <sup>6</sup>	Chicago	\$1,500,000	Chicago Transit Authority
MA	Boston	\$1,050,000	Massachusetts Bay Transportation Authority
MN	Minneapolis	\$675,000	Metropolitan Council
NV	Las Vegas	\$500,000	Regional Transportation Commission of Southern NV
NY/NJ <sup>7</sup>	New York City Jersey City Newark	\$4,482,076	Metropolitan Transportation Authority
			New York City DOT
			New Jersey Transit Corporation
OR	Portland	\$650,000	Tri-County Metropolitan Transportation District
PA	Pittsburgh	\$600,000	Port Authority of Allegheny County
PA/NJ <sup>8</sup>	Philadelphia	\$1,400,000	Southeastern Pennsylvania Transportation Authority
TX	Dallas	\$550,000	Dallas Rapid Area Transit
	Houston	\$900,000	Metropolitan Transit Auth. Of Harris County
WA	Seattle	\$900,000	King County Dept of Trans
WI	Milwaukee	\$600,000	Milwaukee County Transit System

<sup>5</sup> The DC SAA will apply for and administer these funds.

<sup>6</sup> The IL SAA will apply for and administer these funds.

<sup>7</sup> The NY SAA will apply for and administer these funds.

<sup>8</sup> The PA SAA will apply for and administer these funds.



Table 4 below identifies ferry systems eligible to submit projects through their SAA for funding consideration as part of the competitive portion of the FY 2005 TSGP. Ferry systems eligible to compete for this funding were determined based on annual unlinked trips (ridership) and location within a defined UASI jurisdiction.

**Table 4. Ferry Systems Eligible for Consideration of Funding**

State	Urban Area	Eligible System
CA	San Francisco	Golden Gate Bridge, Highway and Transportation District
LA	New Orleans	Louisiana Department of Transportation – Crescent City Connection
MA	Boston	Massachusetts Bay Transportation Authority
NY/NJ <sup>9</sup>	New York City	New York City Department of Transportation
	Jersey City	Port Authority of New York and New Jersey
TX	Houston	Texas DOT (Bolivar Roads Ferry)
WA	Seattle	Washington State Ferries

<sup>9</sup> The NY SAA will apply for and administer any funds awarded.

## II. Overview

***The mission of the FY 2005 TSGP is to create a sustainable effort for the protection of critical infrastructure from terrorism, especially explosives and non-conventional threats that would cause major loss of life and severe disruption.***

### A. Program Overview

The FY 2005 TSGP provides financial assistance to eligible transit agencies through the applicable SAAs for the protection of critical infrastructure and emergency preparedness activities. ***Allowable costs comport with the FY 2005 ODP Homeland Security Grant Program (HSGP), and the expenditure of FY 2005 funding must directly support each transit agency's risk-based Security and Emergency Preparedness Plan (SEPP) and a Regional Transit Security Strategy (RTSS). As funds are allocated on a regional basis, distribution must also be based on consensus among the eligible transit systems and the SAA. Where a region includes more than one state, all of the applicable SAAs must approve the funding allocation.***

### B. Solicitation Overview

This application provides follow-on funding to the FY 2003 and FY 2004 regional transit security initiatives. This regional approach will ensure that the use of funds provided through this program is consistent with the overall security needs of the transit sector in the region, and is ultimately accounted for in the broader regional planning process that forms the core of the UASI program.

***The program includes a requirement that transit systems selected for funding participate in a Regional Transit Security Working Group (RTSWG) for the purpose of developing the RTSS, and to develop regional consensus on the expenditure of FY 2005 TSGP funds. The RTSWG must also include representation from the applicable SAA(s) and Urban Area Working Group(s) (UAWG), and it is strongly recommended that other transit agencies whose systems intersect with those of the grant recipients also participate in the RTSWG process. In addition, where transit operations intersect with those of Amtrak in the Northeast Corridor and in Chicago, a representative of Amtrak must be included in the RTSWG and close coordination on the expenditure of funds for security enhancements at shared facilities must occur. Appendix A of this application kit contains a master list of the RTSWGs that must be established, and the required participants. Note: RTSWGs in jurisdictions not included in the FY 2005 UASI program must include representatives of the UAWG established as part of the FY 2004 UASI program.***

***It is the responsibility of the applicable SAA(s) to coordinate and manage this process, and to ensure that development of the RTSS is in accordance with the guidance provided in Appendix B of this application kit. In addition, as funds are allocated on a regional basis, the distribution must be based on the individual agency's SEPP, the RTSS and consensus among the eligible transit systems and the SAA. Where a region includes more than one state, all of the applicable SAAs must approve the funding allocation.***

## III. Program and Application Requirements

### A. General Program Requirements

The SAA, in coordination with the identified transit systems, will be responsible for administration of the FY 2005 TSGP. In administering the program, the SAA must work with the transit agency to comply with the following requirements:

1. **Describe the Transit Agencies in the Region.** As part of the application process, the SAA must include a program narrative that identifies specific point(s) of contact (POC) at the transit agencies to work with ODP on the implementation of the FY 2005 TSGP. The program narrative should also include a description of the transit agencies' operating systems, including infrastructure, ridership, the number of track miles (if applicable), the number of vehicles or vessels (if applicable), types of service and other important features, as well as system maps, a description of the geographical borders of the transit systems and the cities and counties served, and a description of other sources of funding being leveraged for security enhancements. ***In addition, the program narrative should address the transit systems' current<sup>10</sup>, detection and response capabilities relative to improvised explosive devices (IEDs), as well as chemical, biological, radiological and nuclear devices (including sensors, canine units, etc.).***
  
2. **Conduct a Transit System Risk Assessment.** If not already completed, each transit system will be required to conduct a risk assessment which includes requirements outlined in *The Public Transportation System Security and Emergency Preparedness Planning Guide*, published by the U.S. Department of Transportation's Federal Transit Administration (FTA), and available at: <http://www.fta.dot.gov/>. For purposes of this grant, rail and intra-city bus systems may use the Security Readiness Assessment conducted by the FTA. These agencies may also use the risk assessments that were completed during the previous round of UASI Transit Security Grants or the risk assessment completed as part of the ODP Mass Transit Technical Assistance Program. Ferry systems carrying more than 150 passengers on domestic voyages or more than 12 passengers on international voyages, and the terminals that serve them, have already been required to conduct security assessments in accordance with the Maritime Transportation Security Act of 2002 (MTSA), and may use these to

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<sup>10</sup> **Prevention.** Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions taken to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice. (Source—National Incident Management System, March 2004)

satisfy the requirements of this program. ***These assessments must be provided to ODP.***

3. **Develop a Security and Emergency Preparedness Plan (SEPP).** Each transit system must have a current (updated within the past year), comprehensive plan that includes the requirements outlined in *The Public Transportation System Security and Emergency Preparedness Planning Guide*, published by the FTA, and available at: <http://www.fta.dot.gov/>. The SEPP should provide written policies and procedures to guide the transit system's activities for homeland security and emergency preparedness. ***The SEPP should also specifically identify how the transit agency intends to address any shortfalls in IED and other prevention, detection and response capabilities identified as part of the risk assessment. The SEPP, along with the Regional Transit Security Strategy described below, must serve as the basis for proposed allocations of grant funding. This plan must be provided to ODP.***
4. **Develop a Regional Transit Security Strategy (RTSS).** A key element of the FY 2005 TSGP is the requirement that transit agencies receiving funds through the program work with the states, urban areas and other transit systems in their defined region to develop an RTSS. As the owners and/or operators of infrastructure that is vital to the well being of the states and urban areas they serve, it is imperative that transit systems be incorporated into regional preparedness planning efforts.

***The RTSS should serve as the integration point between the individual, risk-based SEPPs, and the overall security goals and objectives of the region. Therefore, the RTSS must demonstrate a clear linkage to the applicable state and urban area homeland security strategies developed or currently being developed. It is expected that the SEPPs and the RTSS will serve as the basis on which funding is allocated to address regional transit security priorities, and the vehicle through which transit agencies may justify and access other funding and resources available on a region-wide basis through the UASI program. Note: Release of funding is contingent upon the completion, submission and approval by ODP of the RTSS. Regional Transit Security Strategies must be completed and submitted to ODP by August 31, 2005.***

**Grant Funds.** Funds are allocated on a regional basis, and distribution must be based on the individual agency's SEPP, the RTSS and consensus among the eligible transit systems and the SAA. Where a region includes more than one state, all of the applicable SAAs must approve the funding allocation. ***The SAA must obligate at least 97% of the funds awarded to designated transit systems within 60 days of the receipt of funds<sup>11</sup>. A maximum of 3% may be retained by the SAA for***

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<sup>11</sup> For purposes on the FY 2005 TSGP program, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).

**administrative costs. Up to 5% of the total regional allocation may also be made available to the eligible rail and intra-city bus transit systems prior to submission of the transit system risk assessment, SEPP and RTSS in order to support these required planning activities.**

## **B. Specific Program Requirements for Rail Transit and Intra-City Bus Systems**

For purposes of the FY 2005 TSGP, rail transit systems include commuter rail, heavy rail (including subway systems) and light rail. **When conducting risk assessments and developing the Security and Emergency Preparedness Plans and Regional Transit Security Strategies, specific attention must be paid to the prevention, detection and response to incidents involving IEDs. IEDs pose a threat of great concern to transit systems across the nation. IEDs have historically been the terrorist weapon of choice because they combine a high degree of effectiveness with minimal cost. Grantees should leverage FY 2005 TSGP funding to develop capabilities to prevent, detect and respond to IED terrorist attacks. In addition, specific attention must also be paid to prevention, detection and response capabilities related to chemical, biological, radiological and nuclear devices.**

The following are examples of security enhancements designed to enhance IED and chemical, biological radiological and nuclear prevention and detection capabilities for rail and intra-city bus transit:

### **1. Driver/Vehicle Protection**

- Explosive Agent Detection Sensors
- Chemical/Biological/Radiological Agent Detection Sensors
- Canines (Start-up Costs and Training)
- Driver Shields
- GPS Tracking Systems
- Interlock Security Devices
- Kill Switch Technology
- On Board Camera Systems

### **2. Facility Security**

- Explosive Agent Detection Sensors
- Chemical/Biological/Radiological Agent Detection Sensors
- Canines (Start-up Costs and Training)
- Intrusion Detection
- Video Surveillance Systems
- Secure Entry ID Systems
- Employee Identification
- Improved Lighting
- Fencing and Secured Gates
- Interoperable Communications Systems

### 3. **Training**

- Behavioral Screening Training for Frontline Employees
- Anti-terrorism Training
- Anti-Hijacking Training
- Public and Employee Awareness Programs
- Multi-disciplinary, Multi-jurisdictional Terrorism Exercises

***Note: The PROTECT system, developed and piloted by DHS, the Department of Energy (DOE), FTA and the National Institute of Justice (NIJ), represents one example of an operational capability successfully deployed in subway systems for the detection of certain chemical agents. Use of FY 2005 TSGP funds for this technology is allowable. For additional information on PROTECT, see Appendix D of this application kit.***

## C. Specific Program Requirements for Ferry Systems

Ferry systems present a unique security challenge and share the operational characteristics of two different transportation paradigms. As an element of public transportation, ferries may serve as the single mode used by passengers, but most often are a key and integral link between other (land-based) modes of transportation -- providing service on specific routes where fixed rail or road infrastructure is impractical. Additionally, they often share terminals with land-based transportation modes.

As a maritime transportation mode, ferries must operate in conformance with a series of operating and technical regulations and codes that are unique to the marine industry. By operating on the water, ferries lack access to the traditional, land-based police, fire, emergency medical and other response assets. Even when there are marine response assets available, the time it takes to arrive on the scene of an incident, and the impact of the always-present maritime hazards added to the impacts of a terrorist attack, create a demanding response environment.

For purposes of the FY 2005 TSGP, ferry systems are advised that:

1. Grant funds can be used for security enhancements on vessels and terminals that are elements of a ferry system, including intermodal passenger facilities (e.g. auto/bus/rail to ferry).
2. Public entities may use grant funds for the installation and operation of equipment or systems on private vessels and terminals (contractor owned) so long as the public entity maintains custody of the operational elements of the equipment or systems. Mounting racks, foundations, wireways, pass-throughs, power buses, fittings, and interconnectivity subcomponents required for installation and operation may be permanently consigned to vessels they are installed in.

***When conducting risk assessments and developing the Security and Emergency Preparedness Plans and Regional Transit Security Strategies, specific attention must be paid to the prevention, detection and response to incidents involving IEDs. IEDs pose a threat of great concern to transit systems across the nation. IEDs have historically been the terrorist weapon of choice because they combine a high degree of effectiveness with minimal cost. Grantees should leverage FY 2005 TSGP funding to develop capabilities to prevent, detect and respond to IED terrorist attacks. In addition, specific attention must also be paid to prevention, detection and response capabilities related to chemical, biological, radiological and nuclear devices.***

The following are examples of security enhancements designed to enhance IED and chemical, biological radiological and nuclear prevention and detection capabilities for ferry systems:

**1. Operator/Vessel Protection**

- Explosive Agent Detection Sensors
- Chemical/Biological/Radiological Agent Detection Sensors
- Canines (Start-up Costs and Training)
- Restricted Area Protection (Cipher Locks, Hardened Doors, CCTV for Bridges and Engineering Spaces)
- Fixed Personnel Protection (shields, etc.)
- Communications Equipment (including interoperable communications)
- GPS Position Reporting Systems
- On Board Camera and Recording Systems
- Enhanced Alarm Systems (including duress alarms)

**2. Terminal Security**

- Explosive Agent Detection Sensors
- Chemical/Biological/Radiological Agent Detection Sensors
- Canines (Start-up Costs and Training)
- Intrusion Detection
- Video Surveillance Systems
- Secure Entry/ID systems
- Employee Identification
- Improved Lighting
- Fencing and Secure Gates
- Communications Equipment (including interoperable communications)

**3. Training**

- Behavioral Screening Training for Frontline Employees
- Anti-Terrorism Training
- Anti-Hijacking Training
- Public and Employee Awareness and Assistance Programs
- Multi-disciplinary, Multi-jurisdictional Terrorism Exercises.



**Note: In addition to the overall requirements for a Regional Transit Security Strategy described previously in this section, special consideration must be given to those elements that describe the unique characteristics and requirements of maritime passenger operations. This will require coordination with any regulatory agencies with maritime jurisdiction, but especially with the U.S. Coast Guard and the appropriate Captain of the Port (COTP) and Officer in Charge of Marine Inspection (OCMI). As appropriate, the RTSS must be synchronized with the appropriate assessments and plans as required by the MTSA.**

## D. General Application Requirements

The following steps must be completed using the on-line ODP Grants Management System (GMS) to ensure a successful application submission:

### 1. Application Process

SAAAs must apply for FY 2005 TSGP funding through GMS at <https://grants.ojp.usdoj.gov/>. **Applications must be received by ODP no later than May 6, 2005.**

### 2. On-Line Application

The on-line application must be completed and submitted by the SAA using GMS. The on-line application replaces the following previously required paper forms:

- Standard Form 424, Application for Federal Assistance
- Standard Form LLL, Disclosure of Lobbying Activities
- OJP Form 4000/3, Assurances
- OJP form 4061/6, Certifications
- Equipment Coordination Certification
- Non-Supplanting Certification

These grants are offered by the U.S. Department of Homeland Security, Office for Domestic Preparedness. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “Office for Domestic Preparedness Rail and Transit Security Grant Program.” The CFDA number is 97.075. When completing the on-line application, applicants should identify their submissions as new, non-construction applications. The project period will be for a period not to exceed **30 months**.

### 3. Program Narrative

As part of the application, the SAA must include a program narrative that identifies specific POCs at the transit agencies in the region to work with ODP on the implementation of the FY 2005 TSGP. The program narrative should also include a description of the transit agencies' operating systems, including infrastructure, ridership, the number of track miles (if applicable), the number of vehicles or vessels (if applicable), types of service and other important features, as well as system maps, a description of the geographical borders of the transit systems and the cities and counties served, and a description of other sources of funding being leveraged for security enhancements. ***In addition, the program narrative should address the transit systems' current prevention, detection and response capabilities relative to IEDs, as well as chemical, biological, radiological and nuclear devices (including sensors, canine units, etc.). This information may be provided using one of the attachment fields within the on-line GMS application.***

### 4. Transit System Risk Assessment

As part of the application process, SAAs must work with each transit agency eligible to receive FY 2005 TSGP funds to ensure that a Transit System Risk Assessment as described above in *Section A* has been conducted by the agency. ***An electronic copy of the risk assessment(s) must be provided via the ODP secure portal at:***

***<https://odp.esportals.com/>***

***Note: Additional guidance on how to use the secure portal for this purpose will be provided shortly. Awards will be special conditioned to prohibit the draw down of funds until a copy of the risk assessment is received.***

### 5. Security and Emergency Preparedness Plan (SEPP)

As part of the application process, SAAs must work with each transit agency eligible to receive FY 2005 TSGP funds to ensure that a Security and Emergency Preparedness Plan as described above in *Section A* has been developed and implemented by the agency. ***The SEPP must specifically identify how the transit agency intends to address any shortfalls in IED and other prevention, detection and response capabilities. If a SEPP has not been developed and implemented, funds will not be released. An electronic copy of the SEPP(s) must be provided via the ODP secure portal at:***

***<https://odp.esportals.com/>***

***Note: Additional guidance on how to use the secure portal for this purpose will be provided shortly. Awards will be special conditioned to prohibit the draw down of funds until a copy of the SEPP is received.***

## 6. Regional Transit Security Strategy (RTSS)

As part the application process, transit systems selected for funding must participate in a Regional Transit Security Working Group (RTSWG) for the purpose of developing the RTSS. The RTSWG must also include representation from the applicable state(s) and urban area(s) served by the transit systems receiving funds, and it is strongly recommended that other transit agencies whose systems intersect with those of the grant recipients also participate in the RTSWG process. In addition, where transit operations intersect with those of Amtrak in the Northeast Corridor and in Chicago, a representative of Amtrak must be included in the RTSWG and close coordination on the expenditure of funds for security enhancements at shared facilities must occur.

***Appendix A of this application kit contains a master list of RTSWGs that must be established, and the required participants. It is the responsibility of the applicable SAA(s) to coordinate and manage this process, and to ensure that development of the RTSS is in accordance with the guidance provided in Appendix B of this application kit. All Regional Transit Security Strategies must be completed and submitted to ODP by August 31, 2005. An electronic copy of the RTSS must be provided via the ODP secure portal at:***

<https://odp.esportals.com/>

***Note: Additional guidance on how to use the secure portal for this purpose will be provided shortly. Awards will be special conditioned to prohibit the draw down of funds until a copy of the RTSS is received and approved by ODP.***

## 7. Certification Regarding Regional Consensus on Funding Allocations.

As part of the application process, SAAs must work with the eligible transit agencies in the region to develop and certify consensus on the allocation of the funds provided. Where a region includes more than one state, the applicable SAAs must approve the allocation. ***A copy of the required certification form is contained in Appendix C. Once all applicable signatures have been obtained, this form must be faxed to ODP at: (202) 786-9930***

***Note: Awards will be special conditioned to prohibit the draw down of funds until this certification is received.***

## 8. Use of a Universal Identifier by Grant Applicants.

The applicant must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the application. ***An application will not be considered complete until a valid DUNS number is provided by the applicant.*** This number may be provided in one of the attachment fields within the on-line GMS application. Organizations should verify that they have a DUNS number or take the steps necessary to obtain one as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505.

## 9. 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 under federal control is subject to requests made pursuant to the Freedom of Information Act, 5. U.S.C. § 552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the DHS FOIA Office, and may 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.

## 10. Single Point of Contact (SPOC) Review

Executive Order 12372, which can be found at [http://www.archives.gov/federal\\_register/codification/executive\\_order/12372.html](http://www.archives.gov/federal_register/codification/executive_order/12372.html), 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 if this program has been selected for review by the state. Applicants for transit funding 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 as part of the on-line application.

## 11. Financial Requirements

- **Non-Supplanting Certification:** This certification, which is a required component of the on-line GMS application, affirms that these grant 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 any potential audits. 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.
- **Match Requirement:** There is no match requirement for this program; however, cost sharing is encouraged. For further information on allowable sources and types of funds, timing of match contributions and records for match, please consult the *OJP Financial Guide*, Chapter 3 available at: <http://www.ojp.usdoj.gov/FinGuide/>.

- **Assurances:** The on-line GMS 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. The applicant will be agreeing to these assurances upon the submission of the application.
  
- **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 67, *Government-wide Debarment and Suspension (Non-procurement)*; 28 CFR part 69, *New Restrictions on Lobbying*; and 28 CFR part 83 *Government-wide Requirements for Drug-Free Workplace (Grants)*. All of these can be referenced at: [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html).  
  
The certification will be treated as a material representation of the fact upon which reliance will be placed by DHS in awarding grants.
  
- **Suspension or Termination of Funding:** DHS, by written notice, may terminate this grant, in whole or in part, when it is in the Government's interest.

## 12. Drawdown and Expenditure of Funds.

The Office of Justice Programs' (OJP) Office of the Comptroller (OC) will continue to provide fiscal support of the grant programs included in this solicitation. All grant and sub-grant recipients should refer to the *OJP Financial Guide*, available at: <http://www.ojp.usdoj.gov/FinGuide/>

Following **acceptance of** the grant award and release of any special conditions **withholding funds**, the grantee can drawdown and expend grant funds through the ASAP, PAPRS or LOCES payment systems.

In support of our continuing effort to meet the accelerated financial statement reporting requirements mandated by the U. S. Department of the Treasury and the Office of Management and Budget (OMB), payment processing will be interrupted during the last five (5) working days each month. SAAs should make payment requests before the last five working days of the month to avoid delays in deposit of payments.

For example, for the month of September, the last day to request (draw down) payments will be September 23, 2005. Payments requested after September 23, 2005 will be processed when the regular schedule resumes on October 1, 2005. A similar schedule will follow at the end of each month thereafter.

To avoid denial of payment requests, grantees are encouraged to submit their SF269a Financial Status Reports (see detail in Section IV, Reporting Requirements) on-line at <http://grants.ojp.usdoj.gov>. Additional information and instructions are available at this website.

Grantees and subgrantees will be permitted to drawdown funds up to 120 days prior to expenditure/disbursement, which echoes the recommendation of the Funding Task Force. Funds received by both grantees and subgrantees must be placed in an interest-bearing account and are subject to the rules outlined in the Uniform Rule 28 CFR Part 66, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, at [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html) and the Uniform Rule 28 CFR Part 70, Uniform Administrative Requirements for Grants and Agreements (Including Subawards) with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations, at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/28cfr70\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/28cfr70_03.html).

These guidelines state that subgrantees are required to promptly, but at least quarterly, remit interest earned on advances to:

**United States Department of Health and Human Services  
Division of Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852**

The subgrantee may keep interest amounts up to \$100 per year for administrative expenses. Please consult the *OJP Financial Guide* or the applicable OMB Circular for additional guidance. State grantees are subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 CFR Part 205. Interest under CMIA will accrue from the time federal funds are credited to a state account until the time the state pays out the funds to a subgrantee or otherwise for program purposes.

## **E. Specific Application Requirements for Ferry Systems**

The FY 2005 Appropriations Act requires that funding provided for Port Security be awarded through a competitive process. Therefore, as part of the FY 2005 TSGP, the SAA for each state containing an eligible ferry system, as identified in *Section I, Eligible Applicants and Funding Availability*, may submit up to **three** candidate projects to ODP for funding consideration.

ODP will coordinate a review of the projects through a panel of subject-matter experts that includes the U.S. Coast Guard. During this review process, proposals will be awarded points in accordance with the following criteria:

1. Demonstrates emphasis on prevention, detection and response to IED incidents
2. Demonstrates emphasis on prevention, detection and response to chemical, biological, radiological or nuclear incidents
3. Demonstrates emphasis on prevention, detection and response to a hijacking incident
4. Demonstrates clear enhancement to regional security
5. Demonstrates inter-modal integration
6. Demonstrates sustainability without additional federal funds
7. Demonstrates logical extension of MTSA goals
8. Demonstrates innovative solutions
9. Requires less than \$1 million in federal funding to complete
10. Demonstrates cost sharing

Criteria will be grouped for awarding points in the following ranges:

<u>Criteria Groupings</u>	<u>Total Points for Each Grouping</u>
1	1 – 40
2	1 – 30
3, 4, 5	1 – 20
6, 7	1 – 15
8, 9, 10	1 – 10

When two or more projects receive an identical score, preference will be given to the proposal that demonstrates the highest percentage cash match. Based on the results of the evaluation, ODP will award up to \$5 million to fund selected projects.

***Applications must clearly demonstrate an ability to provide deliverables consistent with the purpose of the program and guidance provided by ODP. As such, applications that contain funding requests for eligible ferry systems must also include a supplement to the Program Narrative submitted with the on-line application. The supplement must include a program plan and detailed budget for each project submitted for funding consideration:***

- **Program Plan:** The applicant must provide a complete program plan for the entire project period. The program plan should clearly demonstrate how the project is consistent with all applicable requirements outlined in this application kit and addresses the rating criteria identified above. The program plan should not exceed five (5) pages.
- **Detailed Budget:** The applicant must also provide a detailed budget for use of the funds provided. The budget must be complete, reasonable and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs. A sample budget worksheet form that can be used as a guide to assist applicants in the preparation of the budget worksheet is provided in *Appendix E: Sample Budget Worksheet*, and on the Office of Justice Programs (OJP) web site at:

<http://www.ojp.usdoj.gov/Forms/budget.pdf>.

***This information may be provided using one of the attachment fields within the on-line GMS application. Projects submitted for consideration without a complete program plan and detailed budget for each project will not be considered for funding.***

## F. Allowable Cost Guidance

FY 2005 TSGP allowable costs are divided into the following categories: planning, organization, equipment, training and exercises. In addition, management and administration costs are also allowable, as are certain operational costs. Examples of allowable costs and activities can be found in *Appendix D: Authorized Program Expenditures*. The following provides general allowable costs guidance:

### 1. Management and Administration (M&A) Costs

The FY 2005 TSGP provides for coverage of M&A costs for both the SAA and the eligible transit agencies. No more than **3% of the total award amount** may be retained by the SAA, and any funds retained are to be used solely for management and administrative (M&A) purposes. In addition, transit agencies receiving pass-through funds may also use up to **2.5% of their sub-award** for M&A purposes.

### 2. Construction and Renovation

Use of FY 2005 TSGP funds for construction is generally prohibited except as outlined below. Such construction and renovation shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities.

The following actions and improvements **do not** constitute construction or renovation, and are allowable under specific TSGP program guidance:

- Improved lighting;
- Fencing (unless the project impacts an environmentally sensitive area);
- Closed-circuit television (CCTV) systems;
- Motion detection systems; and,
- Barriers, doors, gates and related security enhancements.

Project construction and renovation not exceeding \$1,000,000 is also allowable, as deemed necessary by the Executive Director, SLGCP, under the FY 2005 TSGP. These program funds may be used for construction and renovation projects **only** when those projects specifically address ***enhanced security at critical infrastructure facilities and support the goals and objectives of the SEPP and RTSS***. The following actions and improvements are considered to constitute construction or renovation:



- Construction and/or renovation to guard facilities;
- Communications antennas; and,
- Any other construction or renovation efforts that change or expand the footprint of a facility or structure, including security enhancements to improve perimeter security.

**Approval Process:** In order for grantees to drawdown funds for construction and renovation costs, the grantee must provide ODP with:

- A description of the asset or facility, asset location, whether the infrastructure is publicly or privately owned, and the construction or renovation project;
- Certification that a facility vulnerability assessment has been conducted for the facility;
- A description of how the construction or renovation project will address the identified vulnerability(ies) from the assessment; and,
- A statement on the consequences of not implementing the construction or renovation project.

**Note: Written approval must be provided by ODP prior to the use of any FY 2005 TSGP funds for construction or renovation.**

**National Environmental Policy Act (NEPA).** NEPA requires ODP to analyze the possible environmental impacts of each construction project. The purpose of a NEPA review is to weigh the impact of major federal actions or actions undertaken using federal funds on adjacent communities, water supplies, historical buildings, endangered species, or culturally sensitive areas prior to construction. Grantees wishing to use ODP funding for construction projects must complete and submit a **NEPA Compliance Checklist** to ODP for review. Additionally, grantees may be required to provide additional detailed information on the activities to be conducted, locations, sites, possible construction activities, possible alternatives, and any environmental concerns that may exist. Results of the NEPA Compliance Review could result in a project not being approved for ODP funding, the need to perform an Environmental Assessment (EA) or draft an Environmental Impact Statement (EIS). **Note: Reasonable costs related to the production of an environmental assessment or an environmental impact statement are allowable.**

### 3. Hiring

The FY 2005 TSGP is not intended as a hiring program, and funds may not be used to support the hiring of sworn public safety officers or to supplant traditional public safety positions. See *Appendix D: Authorized Program Expenditures* for allowable hiring expenditures.

### 4. Operational Costs Guidance

Transit agencies may use up to **10%** of their rail and/or intra-city bus allocation to support operational overtime costs with written approval from ODP. This includes costs incurred during **Code Orange** and **Code Yellow** alerts that are associated with

increased security measures, as well as operational overtime costs that are associated with increased security measures incurred during ***National Security Special Events***, as designated by the Secretary of Homeland Security. ***Transit agencies may not use funds awarded through the competitive ferry program for operational costs.***

Transit agencies may use funds for operational overtime costs associated with increased security measures at critical infrastructure sites and in the following authorized expenditure categories:

- Backfill and overtime expenses for staffing emergency operations centers;
- Hiring of contracted security for critical infrastructure sites; and,
- Public safety overtime.

This does not include consumable costs such as fuel expenses. In addition, funding for ferry services may not be used to supplant ongoing, routine public safety activities of state and local law enforcement, and may not be used to hire staff for operational activities or backfill.

## 5. Overtime, Backfill, and Hiring Guidance

The following are definitions for the terms “hiring”, “overtime”, and “backfill” as used in this solicitation and regarding TSGP allowable costs for planning, organizational, training, exercise, and management and administrative activities. Grantees should be aware that all non-supplanting rules apply to this section.

**Overtime.** Expenses incurred by those personnel who, as a result of ODP-approved activities, are performing over and above their normal, scheduled work hours or work week.

**Backfill** (also called Overtime as Backfill). Expenses incurred by those personnel who are working over and above their normal, scheduled work hours, or work week, in order to perform the duties of other personnel who are temporarily assigned to ODP-approved activities outside their core responsibilities. ODP does not distinguish between Overtime and Overtime as Backfill – they are both viewed as overtime regardless of whether the individual has performed more hours in their normally assigned place of duty or if the overtime accrued as a result of being re-assigned to a different place of duty. Overtime and backfill do not result in an increase of full-time employees (FTEs).

**Hiring.** Hiring new personnel to undertake allowable ODP program activities. This may also include expenses incurred where new personnel are hired to fulfill functions and duties as a result of other existing personnel being reassigned full-time to perform ODP approved activities. In either case, this will result in an increase of FTEs, but cannot result in an increase in the number of FTE positions performing normal operational duties.

Grantees are permitted to hire or laterally move existing public safety officers to new positions that support program activities that are allowable under FY05 TSGP program guidance. In the case of lateral transfers, grant funds may be used to support only those

positions that are allowable under FY05 TSGP program guidance; all nonsupplanting rules apply. Grant funds may **not** be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities. Positions created and/or funded through ODP grants may continue to be supported with future year funding provided that the position is dedicated to the same or similar purposes allowable under applicable ODP program guidance.

## **G. Other Guidance**

### **1. Services to Limited English Proficient (LEP) Persons**

Recipients of ODP financial assistance are required to comply with several federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Grantees are encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, please see <http://www.lep.gov>.

## IV. Additional National Preparedness Initiatives

As noted throughout this application kit, IEDs pose a threat of great concern to transit systems across the nation. IEDs have historically been the terrorist weapon of choice because they combine a high degree of effectiveness with minimal cost. Grantees must leverage FY 2005 TSGP funding to develop capabilities to prevent, detect and respond to IED terrorist attacks. In addition, specific attention must also be paid to prevention, detection and response capabilities related to chemical, biological, radiological and nuclear devices.

Beyond the detection and prevention of attacks involving IEDs and chemical, biological, radiological and nuclear devices, there are several additional national preparedness initiatives and priority focus areas that transit systems should be aware of. These include Homeland Security Presidential Directives (HSPD) 5: *Management of Domestic Incidents* and HSPD-8: *National Preparedness*, which address the management of domestic incidents and national preparedness, respectively. In addition, public awareness and citizen participation programs also have an important role to play. ***Transit systems are strongly encouraged to pay close attention to the language in these sections in order to stay abreast of initiatives being highlighted by DHS and to comply with associated program requirements.***

### A. National Incident Management System

On September 8, 2004, Secretary Ridge issued a letter to governors outlining the requirements for implementing NIMS in FY 2005. This letter is available on the NIMS Integration Center (NIC) website at <http://www.fema.gov/nims/>. NIMS provides a consistent nationwide approach for federal, state, territorial, tribal, and local governments to work effectively and efficiently together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size or complexity.

The NIC is working with federal departments and agencies to ensure that they develop a plan to adopt NIMS, and that all FY 2005 federal preparedness assistance program documents begin the process of addressing NIMS implementation.

Implementation of and compliance with NIMS is critical to ensuring full and robust preparedness across our nation. HSPD-5 established ambitious deadlines for NIMS adoption and implementation. FY 2005 is a start up year for NIMS implementation and full compliance with the NIMS is not required for an applicant to receive FY 2005 grant funds. Since FY 2005 is a critical year for initial NIMS adoption, awardees should start now by prioritizing FY 2005 preparedness assistance (in accordance with the eligibility and allowable uses of the grant) to facilitate its implementation.

**Minimum FY 2005 NIMS Compliance Requirements.** Efforts to implement NIMS must include the following:

- Incorporating NIMS into existing training programs and exercises;
- Ensuring that federal preparedness funding supports NIMS implementation (in accordance with the eligibility and allowable uses of the grants);
- Incorporating NIMS into emergency operations planning;
- Promotion of mutual aid agreements; and,
- Institutionalizing the use of the Incident Command System (ICS).

Transit systems should support NIMS implementation by:

- **Having relevant personnel complete the NIMS Awareness Course: “National Incident Management System (NIMS), An Introduction” IS 700.** This independent study course is available on-line and will take between forty-five minutes to three hours to complete. The course is available on the Emergency Management Institute web page at:  
  
<http://training.fema.gov/EMIWeb/IS/is700.asp>
- **Formally recognizing NIMS and adopting NIMS principles and policies.** The NIC will provide sample language and templates to assist in formally adopting NIMS through legislative and/or executive/administrative means.
- **Establish a NIMS baseline by determining which NIMS requirements are already satisfied.** The NIC is developing a web-based self-assessment system, the NIMS Capability Assessment Support Tool (NIMCAST) to evaluate their incident response and management capabilities. The NIC is currently piloting the NIMCAST with a limited number of states. Upon completion of the pilot, the NIC will provide all potential future users with voluntary access to the system. Additional information about the NIMCAST tool will be provided later this year.
- **Establishing a timeframe and developing a strategy for full NIMS implementation.** Transit systems are encouraged to achieve full NIMS implementation during FY 2005. To the extent that full implementation is not possible during FY 2005, federal preparedness assistance must be leveraged to complete NIMS implementation in FY 2006. By FY 2007, federal preparedness assistance will be conditioned upon full compliance with NIMS.
- **Institutionalizing the use of the ICS.** Transit systems that are not already using ICS, must institutionalize the use of ICS (consistent with the concepts and principles taught by DHS) across the entire response system.

**FY 2006 and FY 2007 Requirements.** In order to receive FY 2006 preparedness funding, the minimum FY 2005 compliance requirements described above must be met. Applicants will be required to certify as part of their FY 2006 grant applications that they have met the FY 2005 NIMS requirements.

Additional information about NIMS compliance and resources for achieving compliance will be forthcoming from the NIC. The NIC web page, <http://www.fema.gov/nims>, will be updated regularly with NIMS information and implementation guidance.

## **B. Homeland Security Presidential Directive/HSPD-8: National Preparedness**

HSPD-8 establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters and other emergencies by requiring a National Preparedness Goal, establishing mechanisms for improved delivery of federal preparedness assistance to state and local governments and outlining actions to strengthen preparedness capabilities of federal, state, and local entities. Statewide all-hazards preparedness strategies should be consistent with the National Preparedness Goal, assess the most effective ways to enhance preparedness, address areas facing higher risk especially to terrorism, and address local government concerns and Citizen Corps efforts.

The National Preparedness Goal establishes the requirement for federal, state, local and tribal entities to achieve and sustain nationally accepted risk based target levels of capability for prevention, preparedness, response and recovery for major events, especially terrorism. The target levels of capability are based upon National Planning Scenarios, a Universal Task List (UTL), and a Target Capabilities List (TCL). These tools have been developed with input from the homeland security community at all levels and will continue to be updated over time. States should take steps in FY05 to review and incorporate these tools in their preparedness efforts in preparation for full implementation of HSPD-8 in FY06.

The National Planning Scenarios illustrate the scope and magnitude of major, catastrophic events. They include 12 terrorist attacks (including chemical, biological, radiological, nuclear, explosive, and cyber), two natural disasters and pandemic influenza. The scenarios provide detail in terms of casualties, property damage, and economic losses needed to project capability requirements for prevention, preparedness, response and recovery. Summaries of the National Planning Scenarios are available on the ODP Secure Portal located at <https://odp.esportals.com>. The full National Planning Scenarios will be made available as soon as they are finalized.

The UTL defines the essential tasks that need to be performed from the incident scene to the national level for major events illustrated by the National Planning Scenarios. The UTL also includes information on operating conditions and standards needed to develop quantifiable performance measures for planning, equipment, training, and

exercises. The UTL is available on the ODP Secure Portal located at <https://odp.esportals.com>.

The Target Capabilities List identifies thirty-six critical capabilities needed to perform the tasks identified in the UTL for the major events illustrated by the National Planning Scenarios. Capabilities are defined in broad operational terms and consist of properly planned, organized, equipped, trained, and exercised personnel needed to perform a task. The Target Capabilities List is organized by Tiers to account for reasonable differences in capability levels among entities based on population density, critical infrastructure, and other risk factors. Entities are preparedness organizations established by levels of government with participation from the private and non-profit sector, as described in NIMS. The Target Capabilities List includes performance metrics. The Target Capabilities List is available on the ODP Secure Portal located at <https://odp.esportals.com> or on the Lessons Learned Information Sharing system at <https://www.llis.gov>.

### Critical Capabilities

1. Animal Health Emergency Support	19. Isolation and Quarantine
2. CBRNE Detection	20. Mass Care (Sheltering, Feeding, and Related Services)
3. Citizen Preparedness and Participation	21. Mass Prophylaxis
4. Citizen Protection: Evacuation and/or In-Place Protection	22. Medical Supplies Management and Distribution
5. Critical Infrastructure Protection	23. Medical Surge
6. Critical Resource Logistics and Distribution	24. On-Site Incident Management
7. Economic and Community Recovery	25. Planning
8. Emergency Operations Center Management	26. Public Health Epidemiological Investigation and Laboratory Testing
9. Emergency Public Information and Warning	27. Public Safety and Security Response
10. Environmental Health and Vector Control	28. Restoration of Lifelines
11. Explosive Device Response Operations	29. Risk Analysis
12. Fatality Management	30. Search and Rescue
13. Firefighting Operations/Support	31. Structural Damage Assessment and Mitigation
14. Food and Agriculture Safety and Defense	32. Terrorism Investigation and Intervention
15. Information Collection and Threat Recognition	33. Triage and Pre-Hospital Treatment
16. Information Sharing and Collaboration	34. Volunteer Management and Donations
17. Intelligence Fusion and Analysis	35. WMD/Hazardous Materials Response and Decontamination
18. Interoperable Communications	36. Worker Health and Safety

ODP will develop detailed National Preparedness Guidance (due March 2005) in coordination with federal, state, local and tribal entities that describes the National Preparedness Goal, the target levels of capability, and how to apply them in the development and update of preparedness assessments and strategies. Assessments, surveys, and data calls will be realigned over time to support the Goal. As necessary, federal regulatory requirements will be modified to support the National Preparedness Goal (to the extent permitted by law). ODP will provide information about changes in preparedness assessments and strategies in upcoming information bulletins and forums.

## C. Public Awareness and Citizen Participation

Citizens are a critical component of homeland security, and to have a fully prepared community, citizens must be fully aware, trained, and practiced on how to detect, deter, prepare for, and respond to emergency situations. Recent surveys indicate that citizens are concerned about the threats facing the nation and are willing to participate to make their communities safer, yet most Americans have low awareness of federal, state, and local emergency preparedness plans, are not involved in local emergency drills, and are not adequately prepared at home.

Informed and engaged citizens are an essential component of homeland security and the mission of Citizen Corps is to have everyone in America participate in making their community safer, stronger, and better prepared. To achieve this, state, local and tribal Citizen Corps Councils have formed nationwide to help educate and train the public, and to develop citizen/volunteer resources to support local emergency responders, community safety, and disaster relief.

In support of this mission, ODP is currently working with FTA to align the Citizen Corps and Transit Watch programs. As part of this, all FY 2005 TSGP award recipients should work with the applicable state and local Citizen Corps Councils to more fully engage citizens through the following activities:

- **Expand plans and task force memberships to address citizen participation.** Develop or revise plans, such as SEPPs, to integrate citizen/volunteer resources and participation, and include advocates for increased citizen participation in task forces and advisory councils.
- **Awareness and outreach to inform and engage the public.** Educate the public on personal preparedness measures, terrorism awareness, alert and warning systems, and state and local emergency plans via a range of community venues and communication channels.
- **Include citizens in training and exercises.** Provide emergency preparedness and response training for citizens, improve training for emergency responders to better address special needs populations, and involve citizens in all aspects of



emergency preparedness exercises, including planning, implementation, and after action review.

- **Develop or expand programs that integrate citizen/volunteer support for the emergency responder disciplines.** Develop or expand Citizen Corps Programs into the transit environment, including citizen participation in prevention and response activities.

In addition, FY2005 TSGP award recipients should also take advantage of the public awareness materials developed by FTA through Transit Watch. To facilitate this, reproduction of official Transit Watch materials is an allowable expense as part of this program.

## **D. Transit Safety and Security Roundtables**

As part of its post-9/11 security initiative, FTA developed the Transit Safety and Security Roundtables program. Attendees at the roundtables primarily include the safety and security chiefs of the largest 50 transit systems in the Nation. These forums provide a mechanism for sharing information on technology and best practices, and for developing relationships between Federal and local officials working in the areas of public transportation safety and security. FTA, SLGCP and TSA are currently working to develop a process for jointly sponsoring and continuing these important forums. In support of this, FY 2005 TSGP funding may be used to cover the costs of invitational travel to future Transit Safety and Security Roundtables.

## V. Assistance Resources and Support

To assist grantees with program activities, ODP offers several support mechanisms.

### A. Centralized Scheduling and Information Desk (CSID) Help Line

The CSID is a non-emergency resource for use by state and local emergency responders across the Nation. The CSID provides general information on all ODP programs, as well as information on the characteristics and control of CBRNE materials, defensive equipment, mitigation techniques, and available federal assets and resources. The CSID also provides information on the following services: CBRNE training, scheduling support, CBRNE exercises and technical assistance (TA).

The CSID can be contacted at 1-800-368-6498 or [askcsid@dhs.gov](mailto:askcsid@dhs.gov). CSID hours of operation are from 8:00 am–7:00 pm (EST), Monday-Friday.

### B. ODP Mass Transit Technical Assistance Program

As part of the FY 2005 TSGP, ODP is making available technical assistance on a first-come, first-served basis (and subject to the availability of funding) to RTSWG and transit systems in support of the requirements associated with their FY 2005 grants. Available technical assistance options include: 1) provision of a project team to support transit agencies on-site in the implementation of a risk assessment process; 2) provision of a facilitated workshop to support establishing an RTSWG and understanding the requirements of the program; and, 3) provision of a facilitated workshop for development of the RTSS.

The Risk Assessment is used to identify and prioritize mass transit agency needs, according to risk, security and response capability. The process involves three primary components, as follows:

- Risk Assessment
- Response Capabilities Assessment
- Needs Assessment

The process will result in two outcomes:

- Prioritization of security countermeasures and emergency response capability needs based on terrorist threat and risk; and,
- Development of a roadmap for future rail or transit agency funding allocations for terrorist attack risk reduction.

Several additional federal assessment tools are also available to assist transit agencies. They include:

- Assessments conducted through Technical Assistance offered by FTA. Additional information may be found at:

<http://transit-safety.volpe.dot.gov/Security/Default.asp#FTA's%205-POINT%20SECURITY%20INITIATIVE>

- TSA's Self Assessment Risk Module (TSARM) – an online self-assessment for individual transportation assets. Additional information may be found at:

<http://www.tsa.gov/public/display?theme=90>

- TSA's Transportation Risk Assessment and Vulnerability Evaluation (TRAVEL) tool – a facilitated, on-site assessment of a transportation asset. Additional information may be found at:

<http://www.tsa.gov/public/display?theme=90>

***When using one or more of the tools above, applicants are reminded that the assessment submitted with the grant application must examine the transit agency as a system, and data generated by assessment tools that look at individual assets will need to be integrated into that system-wide assessment.***

The Orientation Workshop provides assistance in understanding the requirements associated with developing and submitting the RTSS to ODP. As part of this workshop, facilitators will be able to assist RTSWG's with:

- Developing appropriate contacts among the applicable SAA(s), UAWG representatives, eligible transit systems, Amtrak (where applicable) and other transit systems in the region;
- Organizing the RTSWG;
- Interpreting the requirements outlined in the FY 2005 TSGP guidance;
- Coordination of the RTSS with the applicable state and urban homeland security strategies;
- Understanding the RTSS approval process; and,
- Reporting on RTSS implementation using the ODP Grant Reporting Tool.

The RTSS Development Workshop provides assistance in the development and submission of the RTSS to ODP. As part of this workshop, facilitators will be able to assist RTSWG's with:

- Developing the required elements of the RTSS; and,
- Completing and submitting the RTSS template to ODP.

**ODP Mass Transit Technical Assistance Program support may be requested by the SAA through the CSID on a first-come, first-served basis by calling 1-800-368-6498. Provision of these services is also subject to the availability of funding.**

In addition to the support provided through the ODP Mass Transit Technical Assistance Program, ODP also offers a variety of other technical assistance programs through the broader Homeland Security Preparedness Technical Assistance Program (HSPTAP). Examples of these additional programs are included in Table 5 below.

**Table 5. Examples of ODP Technical Assistance Programs**

TA Program	Purpose
<b>Rapid Assistance Team (RAT) Technical Assistance</b>	This project deploys teams on short notice to support targeted projects such as identifying equipment needs or equipment procurement plans.
<b>Enhancing Grants Management Capacities</b>	This TA service seeks to further improve the ability of grantees to manage and account for grant funds awarded by ODP.
<b>Domestic Preparedness Equipment Technical Assistance Program (DPETAP)</b>	DPETAP provides equipment-specific training on CBRNE detection, decontamination, and personal protective equipment (PPE).

Further information on the HSPTAP can be found in Appendix J of this document, on ODP’s web site at <http://www.ojp.usdoj.gov/odp/ta.htm> under the *Catalog* link, or by contacting the CSID.

### **C. Homeland Defense Equipment Reuse Program**

The mission of the Homeland Defense Equipment Reuse (HDER) Program is to provide excess radiological detection instrumentation and other equipment, as well as training and technical support, to emergency responder agencies nationwide to immediately enhance their homeland security capabilities. The used, but operable instrumentation provided through HDER constitutes a rapid, short-term solution to the immediate needs of emergency responders for this equipment. With the recent adoption of new ANSI standards, it is envisioned that new standards-based equipment will ultimately be substituted for HDER equipment as the new equipment becomes more widely available and, as state and local budgets allow. For additional information on the equipment, training and technical support available through HDER, please contact the CSID at: 1-800-368-6498.

## D. Equipment Purchase Assistance Program

The Equipment Purchase Assistance Program provides ODP grantees with access to prime vendors through memoranda of agreement with the Defense Logistics Agency (DLA). Benefits of the program include shorter procurement lead times, on-line ordering, a diverse inventory of commercial products and seven-day delivery for routine items. When ordering equipment through this program, grantees may only use funds awarded by ODP; state and local funds may not be used. Establishing an account with DLA is a straightforward process which can be initiated by contacting the appropriate program representative. Additional information on the programs and contact information for program representatives is available in fact sheets posted on the ODP website. For information on the Emergency Responder Equipment Purchase Program run through DLA's Defense Supply Center Philadelphia, see: <http://www.ojp.usdoj.gov/odp/docs/fs-padef.htm>.

## E. Lessons Learned Information Sharing (LLIS) System

LLIS is a national, online secure network located at <http://www.LLIS.gov> that houses a collection of peer-validated lessons learned, best practices, after action reports (AAR) from exercises and actual incidents, and other relevant homeland security documents. LLIS is designed to help emergency response providers and homeland security officials prevent, prepare for, respond to, and recover from acts of terrorism. LLIS will improve preparedness nationwide by allowing response professionals to tap into a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security. The system also houses a directory of responders and homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system.

## VI. Reporting, Monitoring and Closeout Requirements

### A. Reporting Requirements

The following reports are required of all program participants:

#### 1. Financial Status Reports (FSRs) – Standard Form 269

***Obligations and expenditures must be reported to ODP on a quarterly basis through the FSRs, which 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 where no grant activity occurs. OJP OC will provide a copy of this form in the initial award package. ***Future awards and fund draw downs will be withheld if these reports are delinquent.***

- **Required Submission:** FSR (quarterly).

#### 2. Biannual Strategy Implementation Reports (Categorical Assistance Progress Report)

Following award of the grant, the state and sub-grantees will be responsible for providing obligation and expenditure information on a regular basis. The BSIR submission will satisfy the narrative requirements in Box 12 of the biannual Categorical Assistance Progress Reports (CAPR). ***The BSIR should account for all funds awarded, and is due within 30 days after the end of the June 30 and December 31 reporting periods. Grantees will provide initial overall obligation and expenditure information with the BSIR submission due December 31, 2005.*** Updated obligation and expenditure information must be provided with each subsequent BSIR submission to show progress made in meeting strategic goals and objectives. ODP will provide a web-enabled application for BSIR submission to grantees. See Appendix G: BSIR Guidance for additional information. ***The applicable SAAs are responsible for completing and submitting the BSIR reports. Future awards and fund draw downs may be withheld if these reports are delinquent.***

- **Required Submission:** BSIR (biannually).

***Note: While budget detail worksheets do not need to be submitted with the application (except for eligible ferry systems submitting candidate projects), SAAs and transit agencies must maintain complete and accurate accounting records, and use that information in the preparation of the BSIR. In addition, these records must be available to DHS upon request.***

### 3. Exercise Evaluation and Improvement

Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at <http://www.ojp.usdoj.gov/odp/docs/HSEEPv2.pdf>. The SAA must report on scheduled exercises and ensure that an AAR and Improvement Plan (IP) are prepared for each exercise conducted with ODP support (grant funds or direct support) and submitted to ODP within 60 days following completion of the exercise.

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The IP outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally, the IP, with at least initial action steps, should be included in the final AAR. ODP is establishing a national database to facilitate the scheduling of exercises, the submission of the AAR/IPs and the tracking of IP implementation. Guidance on development of AARs and IPs is provided in Volume II of the HSEEP manuals.

- **Required Submission:** AARs and IPs (as applicable).

### 4. Financial and Compliance Audit Report

Recipients that expend \$500,000 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 Accountability Office (GAO) *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/index.html>. 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 FY 2005 TSGP assistance 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.

The State shall require that sub-recipients comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

## B. Monitoring

Grant recipients will be monitored periodically by ODP to ensure that the project goals, objectives, timelines, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, and administrative issues relative to each program, and will identify areas where technical assistance and other support may be needed.

The SAA is responsible for monitoring transit agency activities to provide reasonable assurance that the transit agency administers federal awards in compliance with federal and state requirements. Responsibilities include the accounting of receipts and expenditures, cash management, the maintaining of adequate financial records, and the refunding of expenditures disallowed by audits.

## C. Grant Close-out Process

Within 120 days after the end of the grant period, the grantee will submit a final FSR and a final BSIR detailing all accomplishments throughout the project. After both of these reports have been reviewed and approved by ODP, a Grant Adjustment Notice (GAN) will be completed to close-out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. After the financial information is received and approved by the OJP Office of the Comptroller, the grant will be identified as "Closed by the Office of the Comptroller."

- **Required Submissions:** 1) Final SF-269 FSR; and, 2) Final BSIR.



# APPENDIX A

## Master List of Regional Transit Security Working Groups and Required Participants

# Master List of Regional Transit Security Working Groups and Required Participants

State SAA	Urban Area Working Group	Transit System	Other Participants
CA	Los Angeles Santa Ana	Southern CA Regional Rail Authority	
		LA County Metro Transportation Auth	
		Orange Co. Trans Auth	
	Oakland San Jose San Francisco	Alameda-Contra Costa Transit District	
		Altamont Commuter Express Authority	
		Santa Clara Valley Trans Authority	
		Peninsula Corridor Joint Powers Board	
		SF Bay Area Rapid Transit District	
		San Francisco Municipal Railway	
		Golden Gate Bridge, Highway and Transportation District	
	Sacramento	Sacramento Regional Transit District	
	San Diego	North San Diego County Transit District	
		San Diego Trolley	
San Diego Transit Corp.			
CO	Denver	Regional Transportation District	
DC/MD/VA <sup>12</sup>	Washington/National Capital Region	Washington Metropolitan Area Transit Authority	Amtrak
		MD Trans Admin	
		VA Railway Express	
FL	Jacksonville	Jacksonville Transportation Authority	
	Miami	Tri-County Commuter Rail	
		Miami Dade Trans Auth	
GA	Atlanta	Metropolitan Atlanta Rapid Transit Authority	
HI	Honolulu	City & County of Honolulu DOT Services	
IL/IN <sup>13</sup>	Chicago	NE Ill Reg Commuter Rail	Amtrak
		No. Indiana Commuter Trans Dist	
		Chicago Transit Authority	
LA	New Orleans	Regional Transit Authority	
		Louisiana Department of Transportation – Crescent City Connection	

<sup>12</sup> The DC SAA will submit the RTSS on behalf of the RTSWG  
<sup>13</sup> The IL SAA will submit the RTSS on behalf of the RTSWG

State SAA	Urban Area Working Group	Transit System	Other Participants
MA	Boston	Massachusetts Bay Transportation Authority	Amtrak
MI	Detroit	Detroit Transportation Corp	
MN	Minneapolis	Metropolitan Council	
MO	Saint Louis	Bi-State Development Agency	
NV	Las Vegas	Regional Transportation Commission of Southern NV	
NY	Buffalo	Niagara Frontier Transit Metro System	
NY/NJ/CT <sup>14</sup>	New York City Jersey City Newark New Haven	Metropolitan Transportation Authority – LIRR	Amtrak
		Metropolitan Transportation Authority - Metro North	
		Metropolitan Transportation Authority – NYC	
		Metropolitan Transportation Authority – Staten Island	
		Metropolitan Transportation Authority	
		New York City Department of Transportation	
		Port Authority of New York and New Jersey	
		New Jersey Transit Corporation	
		CT Department of Transportation	
OH	Cleveland	Greater Cleveland Regional Trans Auth	
OR	Portland	Tri-County Metropolitan Transportation District	
PA	Pittsburgh	Cambria County Transit Authority	
		Port Authority of Allegheny County	
PA/NJ <sup>15</sup>	Philadelphia	PA Dept of Transportation	Amtrak
		Port Authority Transit Corp	
		Southeastern Pennsylvania Transportation Authority	
TN	Memphis	Memphis Area Transit Authority	
TX	Dallas	Dallas Area Rapid Transit	
		Trinity Railway Express	
	Houston	Island Transit	
		Metropolitan Transit Auth. Of Harris County	
WA	Seattle	Central Puget Sound Regional Trans Authority	
		King County Dept of Trans	
		City of Seattle Monorail	
		Washington State Ferries	
WI	Milwaukee	Milwaukee County Transit System	

**Note: Transit Systems identified in YELLOW are associated with FY 2004 UASI sites not included in the FY 2005 UASI program.**

<sup>14</sup> The NY SAA will submit the RTSS on behalf of the RTSWG

<sup>15</sup> The PA SAA will submit the RTSS on behalf of the RTSWG

# APPENDIX B

## Regional Transit Security Strategy Guidance

## Regional Transit Security Strategy Guidance

This appendix provides guidance for the development of the Regional Transit Security Strategy (RTSS).

### A. Regional Transit Security Working Group (RTSWG)

The program includes a requirement that transit systems selected for funding under the FY 2005 TSGP participate in a Regional Transit Security Working Group (RTSWG). The RTSWG must also include representation from the applicable state(s) and urban area(s) served by the transit systems receiving funds, and it is strongly recommended that other transit agencies whose systems intersect with those of the grant recipients also participate in the RTSWG process. In addition, for those transit operations intersect with those of Amtrak in the Northeast Corridor and in Chicago, a representative of Amtrak must be included in the RTSWG and close coordination with Amtrak on the expenditure of funds for security enhancements at shared facilities must occur. Appendix A of this application kit contains a master list of RTSWGs that must be established, and the required participants.

### B. Purpose/Role of RTSWG

The purpose of the RTSWG is to develop the RTSS and coordinate region-wide transit security enhancements. It is the responsibility of the applicable SAA(s) to coordinate and manage this process, and to ensure that development of the RTSS is in accordance with the guidance provided in this Appendix.

Additionally, the applicable SAA will be responsible for submitting the RTSS to ODP for approval. Submission of an RTSS must contain proof of concurrence by the required participants in each RTSWG, as listed in *Appendix A*. As part of this process, it is ODP's intent to steer transit agency security and preparedness efforts toward a regional, project-oriented process in order to address common, measurable objectives. Therefore, projects funded through the FY 2005 TSGP must be consistent with the transit agency's risk-based Security and Emergency Preparedness Plan and the RTSS. These documents will also be used by ODP to guide the delivery of direct services in the form of training, exercises and technical assistance.

This regional approach will ensure that the use of funds provided through this program is consistent with the overall security needs of the transit sector in the region, and is ultimately accounted for in the broader regional planning process that forms the core of the UASI program. As such, the RTSS must demonstrate a clear linkage to the applicable state and urban area homeland security strategies developed or currently being developed. States, urban areas and transit agency officials should also seek opportunities to leverage funding from multiple sources whenever possible and not restrict their activities to federal funding alone.

## C. RTSS Template

The RTSS should identify the overall vision of regional transit preparedness with specific goals and objectives essential to achieving the vision. The RTSS will serve as an overarching strategy for the region with mode-specific goals and objectives as they relate to Planning, Organization, Equipment, Training, and Exercises (POETE). As data points, the RTSS must consider each participating system's Transit System Risk Assessment and Security and Emergency Preparedness Plan.

Where applicable, transit systems should utilize existing assessments and plans which should be updated and expanded to meet the requirements of FY05 TSGP Program Guidance. Grantees are also strongly encouraged to make maximum use of the guidance being developed as part of HSPD-8, including the planning framework and target capabilities outlined in the interim National Preparedness Goal. ***Each RTSS must also specifically address current and required IED, as well as chemical, biological, radiological, and nuclear prevention, detection and response capabilities, and the actions necessary to address any gaps. Key tasks and elements of such capabilities have been outlined in the Target Capabilities List (see pages 26-28 for additional information).***

The RTSS must follow the format below and, at minimum, address each question listed:

### I. Background

#### A. Introduction

Describe the regional transit infrastructure. Include a description of the nature of the operations of each of the individual transit systems that operate in the region (e.g. quasi-government entity, private, for-profit, etc.) to include the governing structure and financing. ***This should also include a description of any interfaces (such as common infrastructure) between systems in the region.***

#### B. Vision

What will success look like? Describe the most desirable state of preparedness for the transit sector in the region.

#### C. Focus

Succinctly describe how the regional transit sector intends to achieve its vision based on the RTSS.

#### D. Preparedness Strategy Summary

***Describe the regional strategy for the prevention, detection of, response to, and recovery from an IED attack, as well as chemical, biological, radiological and nuclear incidents within the transit sector.*** Prevention activities may include information fusion capabilities, critical infrastructure hardening and interdiction of potential threat elements. Detection may include canine units, sensors, etc. Response may include a regional response approach

and mutual aid agreements. Describe any supporting response agreements, and discuss the region's future plans/initiatives for mutual aid relative to the transit sector. Provide a brief overview of recovery and restoration tasks, such as fatality management, associated with an incident.

E. Coordination

Describe coordination between the required members of the RTSWG for the purposes of completing the RTSS. Also address coordination with any other transit systems in the region, mutual aid partners, other jurisdictions outside the defined urban area(s) and the Metropolitan Planning Organization (MPO)<sup>16</sup>.

**Attention should focus on the regional coordination aspect of the development and implementation on the RTSS. For those systems that share infrastructure, any planning coordination and leveraging of resources for security purposes should also be described.**

What current capabilities and plans do the UASI working group members and the mass transit systems have in the areas of joint operations, communications, training and exercises?

- Describe in detail the current systems (IT and otherwise), used to communicate information among the UASI working group members and the mass transit systems in the region, as well as with the transit systems ridership. **The RTSS should provide a framework for integrating such communications systems between and among the UASI working group members and the mass transit systems.**
- Describe in detail current joint operations conducted by the UASI working group members and the mass transit systems and how the RTSS will be used to plan for future joint operations among the UASI working group members and the mass transit systems. **The RTSS should provide a framework for integrating such operations between and among the UASI working group members and the mass transit systems.**
- Describe in detail current joint planning, training and exercise capabilities in the areas of terrorism prevention, detection, response and recovery conducted by the UASI working group members and the mass transit systems. **The RTSS should provide a framework for integrating such planning, training and exercise between and among the UASI working group members and the mass transit systems.**

What other sources of funding are being leveraged within the region to address security priorities? Of the transit systems eligible to receive FY 2005 TSGP funds, identify those that have waived the 1 percent set-aside for security

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<sup>16</sup> Federal highway and transit statutes require, as a condition for spending federal highway or transit funds, the designation of MPOs that have responsibility for planning, programming and coordination of federal highway and transit investments.

projects associated with conventional Department of Transportation public transit grants and describe the reason the set-aside was waived.

## II. Risk Profile

### A. Demographics

Describe the demographics of the regional transit sector. At a minimum, this description must include:

1. Annual ridership (unlinked trips)
2. Infrastructure, including stations, track miles, etc.
3. Climate conditions
4. Any other special considerations

### B. Threats

Relay results from the transit system risk assessments, including potential threats, history of past acts of terrorism committed within the region, as well as potential critical targets for acts of terrorism.

## III. Capabilities & Needs

### A. Plans

Do the participating transit systems have risk-based SEPPs in place? If not, when will these plans be in place? How are these plans being adjusted to address the requirements of HSPD-5 relative to adoption of NIMS and the ICS? How are these plans being adjusted to address the requirements being developed as part of HSPD-8, including the planning framework and target capabilities outlined in the interim National Preparedness Goal (see pages 26-28 for additional information)? Do these plans include citizen involvement?

### B. Organization

What types of response teams are available within the region? Is the entire transit infrastructure covered by these response teams? What is the regional transit sector's plan to address areas that lack an adequate response capability and are not covered through memoranda of agreement/mutual aid agreements with law enforcement, fire and other response organizations? What are the capabilities (both transit system-specific and UASI-wide) to collect, analyze and disseminate intelligence and law enforcement investigative information on potential threats to the mass transit systems in the region? What systems (IT and otherwise), protocols and procedures are used? Describe in detail the level of integration between all the UASI working groups and the mass transit systems and other law enforcement and first responder agencies in region. What additional capabilities are required?



#### Equipment

***What equipment is needed for optimum IED, chemical, biological, radiological and nuclear incident prevention, detection and response within the transit sector?*** What is the strategy for satisfying equipment requirements and enhancing response efforts? What is being done/ what needs to be done to address communications interoperability?

#### C. Training

Who needs training? At what level do they require training? What is the plan for sustaining desired competency levels?

#### D. Exercises

What is the plan for improving response capabilities through exercises? What kind/how many exercises are needed? What agencies would participate?

### IV. Goals and Objectives

At least one broad-based goal for each of the following must be identified in the RTSS:

1. Prevention;
2. Detection;
3. Response; and
4. Recovery.

The goals should be targets that the region wants to achieve regarding improved levels of capability, with special attention paid to the prevention, detection of, response to and recovery from incidents involving IEDs, as well as chemical, biological, radiological and/or nuclear hazards. The goals should identify how the transit sector intends to address the critical issues identified, and should be designed to drive actions.

Each goal's objectives must address the following solution areas:

1. Planning within the regional transit sector;
2. Organization (to include intelligence and information sharing) within the regional transit sector;
3. Equipment within the regional transit sector;
4. Training within the regional transit sector; and
5. Exercises within the regional transit sector.

Objectives should be specific statements of desired achievement that support the goal. Each objective should include specific implementation steps.

## V. Prioritization of Goals and Objectives

Goals and objectives should be prioritized according to greatest need, as this will assist in making funding allocation decisions. ***Highest priority must be given to IED incident prevention, detection, and response capabilities, followed by chemical, biological, radiological and nuclear incident prevention, detection and response capabilities.***

## VI. Evaluation Plan

The RTSS should be considered a living document and should be monitored for progress and updated as appropriate. Therefore, the applicable SAA(s) must ensure that a system is in place to monitor progress, compile key management information, track trends, and keep the strategy on track. An evaluation plan that describes the methods the regional transit sector has or will establish to evaluate the impact of the plan on asset protection and response capabilities, as well as a timeframe and process for conducting formal reviews, must also be included.

***Note: RTSWGs must use the approved electronic version of this template provided on the ODP secure portal at: <https://odp.esportals.com/>***

***Additional guidance on how to use the secure portal to access this template will be provided shortly.***

# APPENDIX C

## **CERTIFICATION REGARDING REGIONAL CONSENSUS ON FUNDING ALLOCATIONS**

# Certification Regarding Regional Consensus on Funding Allocations

As part of the application process, SAAs must work with the eligible transit agencies to develop and certify regional consensus on the allocation of the funds provided. Where a region includes more than one state, the applicable SAAs must approve the allocations. **Once all applicable signatures have been obtained, this form must be faxed to ODP at: 202-786-9930. Note: Awards will be special conditioned to prohibit the draw down of funds until this certification is received.**

## Certification Template

The signatories below certify that all the eligible transit systems in the region, as well as the SAA agree to the proposed allocation of FY 2005 TSGP funds. (Note: Where a region includes more than one state, the applicable SAAs must approve the allocations.)

1. Transit Agency: _____	2. Transit Agency: _____
Name: _____	Name: _____
Title: _____	Title: _____
Signature: _____	Signature: _____
Date: _____	Date: _____

3. State Administrative Agency (SAA): \_\_\_\_\_

    Name: \_\_\_\_\_

    Title: \_\_\_\_\_

    Signature: \_\_\_\_\_

    Date: \_\_\_\_\_

# APPENDIX D

# AUTHORIZED PROGRAM EXPENDITURES

## Authorized Program Expenditures

This appendix serves as a guide for program expenditure activities. Grantees are encouraged to contact their state or territory's ODP Preparedness Officer regarding authorized and unauthorized expenditures. Funding may be used in the following categories:

1. Planning
2. Organizational Activities
3. Equipment Acquisitions
4. Training
5. Exercises
6. Management and Administrative

### A. Allowable Planning Costs

FY 2005 TSGP funds may be used for the following types of planning activities:

- Public Education/Outreach (such as reproduction of Transit Watch materials);
- Development and implementation of homeland security support programs and adoption of ongoing DHS national initiatives;
- Development and enhancement of plans and protocols;
- Development or conduct of assessments;
- Hiring of full or part-time staff or contractors/consultants to assist with planning activities (not for the purpose of hiring public safety personnel);
- Conferences to facilitate planning activities;
- Materials required to conduct planning activities;
- Travel/per diem related to planning activities (such as attendance at Transit Safety and Security Roundtables); and,
- Other project areas with prior approval from ODP.

## B. Allowable Organizational Activity Costs

Transit agencies may use up to **10%** of their rail and/or intra-city bus allocation to support operational overtime costs with written approval from ODP. This includes costs incurred during **Code Orange** and **Code Yellow** alerts that are associated with increased security measures, as well as operational overtime costs that are associated with increased security measures incurred during **National Security Special Events**, as designated by the Secretary of Homeland Security. ***Transit agencies may not use funds awarded through the competitive ferry program for operational costs.***

Transit agencies may use funds for operational overtime costs associated with increased security measures at critical infrastructure sites and in the following authorized expenditure categories:

- Backfill and overtime expenses for staffing emergency operations centers;
- Hiring of contracted security for critical infrastructure sites; and,
- Public safety overtime.

This does not include consumable costs such as fuel expenses. In addition, funding for ferry services may not be used to supplant ongoing, routine public safety activities of state and local law enforcement, and may not be used to hire staff for operational activities or backfill.

**Note: The FY 2005 TSGP is not intended as a hiring program and funds may not be used to support the hiring of sworn public safety officers or to supplant traditional public safety positions and responsibilities.**

## C. Allowable Equipment Acquisition Costs

This table highlights the allowable equipment categories. A comprehensive listing of allowable equipment categories and types is found on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) at:

<http://www.rkb.mipt.org>.

- Personal Protection Equipment (PPE);
- Explosive Device Mitigation and Remediation Equipment;
- CBRNE Operational Search and Rescue Equipment;
- Information Technology;
- Cyber Security Enhancement Equipment;
- Interoperable Communications Equipment;

- Detection Equipment;
- Decontamination Equipment;
- Medical Supplies and Limited Pharmaceuticals;
- Power Equipment;
- CBRNE Reference Materials;
- CBRNE Incident Response Vehicles;
- Terrorism Incident Prevention Equipment;
- Physical Security Enhancement Equipment;
- CBRNE Response Watercraft;
- CBRNE Logistical Support Equipment;
- Intervention Equipment; and,
- Other Authorized Equipment.

To help prevent an event similar to the sarin gas attack on the Tokyo subway system, DHS, DOE, NIJ and FTA collaborated on PROTECT (Program for Response Options and Technology Enhancements for Chemical/Biological Terrorism), a systems approach to interior infrastructure protection for chemical incidents. PROTECT has been successfully demonstrated in Washington, DC and Boston.

PROTECT includes facility hardening, detection, emergency management information systems, transport modeling, engineering countermeasures and emergency response. The PROTECT program is aimed at providing an early warning crisis management system in the event of a chemical agent attack in a subway system. Chemical agent detectors are located in stations and activation is electronically reported to the Operations Control Center (OCC). Detector false alarms are eliminated by the requirement for redundancy of alarm activations and/or visual verification that the alarms coincide with patron distress. Response takes place in terms of halting of trains, shutting off of station and tunnel ventilation, activation of pedestrian displays, public address announcements, evacuation of critical stations and notification of outside responders. The system is invisible to patrons and may also be used for other emergencies (due to advanced video coverage capability). Responders, such as emergency managers in the OCC and the Incident Commander, can access the PROTECT system through fireman jacks and web connections. These provide: (a) detector alarms at the time of activation; (b) video views of stations under attack; (c) hazard zones above and below ground; (d) response recommendations for police, fire and other responders optimized for the type and size of attack; (e) train locations on a 1-sec updated basis; and, (f) a record of actions already taken by other responders. This information ensures a timely well coordinated response to effectively mitigate a chemical incident.



Currently, the FTA is constructing a technology transfer program for PROTECT. In addition, technologies related to PROTECT are an allowable expense through the FY 2005 TSGP. For additional information on PROTECT, contact:

**Sara Hockert**  
**Program Analyst/SETA Support**  
**Chemical Countermeasures**  
**Science & Technology Directorate**  
**Department of Homeland Security**  
**Phone: (202) 254-5775**  
**Email: [sara.hockert@associates.dhs.gov](mailto:sara.hockert@associates.dhs.gov)**

**Kathleen J. Glenn**  
**Program Analyst/SETA Support**  
**Chemical Countermeasures**  
**Science & Technology Directorate**  
**Department of Homeland Security**  
**Phone: (202) 254-5781**  
**Email: [kathleen.glenn@associates.dhs.gov](mailto:kathleen.glenn@associates.dhs.gov)**

## D. Allowable Training Costs

FY 2005 TSGP funds may be used for the following training activities:

- **Training Workshops and Conferences** - Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.
- **Full or Part-Time Staff or Contractors/Consultants** - Full or part-time staff may be hired to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or local unit(s) of government and have the approval of the state or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured by the state in the design, development, conduct, and evaluation of CBRNE training. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.
- **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 training project(s) or for attending ODP-sponsored courses. These costs must be in accordance with state law as highlighted in the *OJP Financial Guide*. States must also follow state regulations regarding travel. If a state or territory does not have a travel policy they must follow federal guidelines and rates, as explained in the *OJP Financial Guide*. For further information on federal law pertaining to travel costs please refer to <http://www.ojp.usdoj.gov/FinGuide>.
- **Supplies** - Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).
- **Other Items** - These costs include the rental of space/locations for planning and conducting training, badges, etc.

**Note: FY 2005 TSGP funding is not intended as a hiring program and funds may not be used to support the hiring of sworn public safety officers or to supplant traditional public safety positions and responsibilities.**

## E. Allowable Exercise Costs

FY 2005 TSGP funds may be used for the following exercise activities:

- **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.
- **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 state or unit(s) of local government and have the approval of the state or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured to support 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.
- **Overtime and Backfill Costs** – Overtime and backfill costs associated with the design, development and conduct of CBRNE exercises are allowable expenses. Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is an ODP sponsored exercise. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.
- **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 state law as highlighted in the *OJP Financial Guide*. States must also follow state regulations regarding travel. If a state or territory does not have a travel policy they must follow federal guidelines and rates, as explained in

the *OJP Financial Guide*. For further information on federal law pertaining to travel costs please refer to <http://www.ojp.usdoj.gov/FinGuide>.

- **Supplies** - Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **Other Items** - These costs include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.

## F. Allowable Management and Administrative (M&A) Costs

FY 2005 TSGP funds may be used for the following M&A costs. See *Management and Administration* (p.19) for specific programmatic guidance.

- **Hiring of full-time or part-time staff or contractors/consultants:**
  - To assist with the management of the FY 2005 TSGP;
  - To assist with design, requirements, and implementation of the FY 2005 TSGP; and,
  - To assist with the implementation and administration of the Transit System Security and Emergency Preparedness plans.
- **Hiring of full-time or part-time staff or contractors/consultants and expenses related to:**
  - Pre-application submission management activities and application requirements; and,
  - Meeting compliance with reporting/data collection requirements, including data calls.
- **Development of operating plans for information collection and processing necessary to respond to DHS/ODP data calls Travel expenses**
- **Meeting-related expenses** (For a complete list of allowable meeting-related expenses, please review the OJP OC Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>).
- **Acquisition of authorized office equipment**, including personal computers, laptop computers, printers and LCD projectors.

## G. Unauthorized Program Expenditures

- FY 2005 TSGP funds may **not** be used for the following activities:
- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition;
- Activities unrelated to the completion and implementation of the TSGP; and,
- Other items not in accordance with the AEL or previously listed as allowable costs.

# APPENDIX E

## SAMPLE BUDGET DETAIL WORKSHEET

# Sample Budget Detail Worksheet

**OMB Approval No. 1121-0188**  
Expires 5-98 (Rev. 12/97)

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

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

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
----------------------	--------------------	-------------

TOTAL \_\_\_\_\_

**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
----------------------	--------------------	-------------

TOTAL \_\_\_\_\_

**Total Personnel & Fringe Benefits** \_\_\_\_\_

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

<u>Purpose of Travel</u>	<u>Location</u>	<u>Item</u>	<u>Computation</u>	<u>Cost</u>
--------------------------	-----------------	-------------	--------------------	-------------

**TOTAL** \_\_\_\_\_

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

<u>Item</u>	<u>Computation</u>	<u>Cost</u>
-------------	--------------------	-------------

**TOTAL** \_\_\_\_\_

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

<u>Supply Items</u>	<u>Computation</u>	<u>Cost</u>
---------------------	--------------------	-------------

TOTAL \_\_\_\_\_

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

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from ODP.

<u>Name of Consultant</u>	<u>Service Provided</u>	<u>Computation</u>	<u>Cost</u>
---------------------------	-------------------------	--------------------	-------------

Subtotal \_\_\_\_\_



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

<u>Item</u>	<u>Location</u>	<u>Computation</u>	<u>Cost</u>
-------------	-----------------	--------------------	-------------

**Subtotal** \_\_\_\_\_

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

<u>Item</u>	<u>Cost</u>
-------------	-------------

**Subtotal** \_\_\_\_\_

**TOTAL** \_\_\_\_\_

**G. Other Costs** - 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.

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
--------------------	--------------------	-------------

TOTAL \_\_\_\_\_

**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.

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
--------------------	--------------------	-------------

TOTAL \_\_\_\_\_

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

<u>Budget Category</u>	<u>Amount</u>
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Consultants/Contracts	_____
G. Other	_____
<b>Total Direct Costs</b>	_____
H. Indirect Costs	_____
<b>TOTAL PROJECT COSTS</b>	_____

Federal Request                    \_\_\_\_\_

Non-Federal Amount                \_\_\_\_\_

# APPENDIX F

## SAMPLE AWARD PACKAGE

## Sample Award Package

### TAB 1: SAMPLE REVIEW OF AWARD

#### Office of Justice Programs Post Award Instructions for ODP Awards

1. Review Award and Special Conditions Document.

Carefully read the award and any special conditions or other attachments. There is an original plus one copy of the award page.

**If you agree** with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19. You should maintain a copy and return the original signed documents to:

Office of Justice Programs  
Attn: Control Desk - ODP Award  
810 Seventh Street, NW – 5<sup>th</sup> Floor  
Washington, DC 20531

**If you do not agree** with the terms and conditions, contact the awarding ODP Preparedness Officer as noted in the award package.

2. Read Guidelines.

Become familiar with the “*OJP Financial Guide*” which is available through the internet at the OJP, Office of the Comptroller website:

**<http://www.ojp.usdoj.gov/oc/>**. New award recipients are automatically placed on a mailing list to receive future Guides and their change sets.

Up to 5 copies of the Guide may be ordered at no cost through:  
<http://puborder.ncjrs.org>

You may also order the Guide by calling 1-800-851-3420. Select #2 for publications, select #1 to speak with a publications specialist.

## TAB 2: SAMPLE POST AWARD INSTRUCTION

U. S. Department of Justice  
Office of Justice Programs  
Office of the Comptroller

### Post Award Instructions

The OJP is currently responsible for the financial administration of grants awarded by the ODP.

The following is provided as a guide for the administration of awards from ODP. Forms and other documents illustrating each step are attached.

#### **Step 1. Review Award and Special Conditions.**

If you agree with the terms and conditions stated in the award, sign and date the award document and the last page of the Special Conditions, and return to OJP. Notify your ODP Preparedness Officer when Special Conditions have been met (refer to Step 1 attachment);

If you do not agree with the terms and conditions as written, contact your ODP Preparedness Officer.

#### **Step 2. Read Guidelines.**

Read and become familiar with the *OJP Financial Guide* and related material (refer to Step 2 attachment).

#### **Step 3. Complete and Return ACH Form.**

The Automated Clearing House (ACH) Vendor/Miscellaneous Payment Enrollment Form (refer to Step 3 attachment) is used to arrange direct deposit of funds into your designated bank account.

#### **Step 4. Access to Payment Systems.**

OJP uses two payment systems: Phone Activated Paperless System (PAPRS) and Letter of Credit Electronic Certification System (LOCES) (refer to Step 4 attachment). Current LOCES users will see the addition of new ODP grants on the LOCES grant number listing as soon as the ODP award acceptance has been received. PAPRS grantees will receive a letter with the award package containing their PIN to access the system and Grant ID information.

#### **Step 5. Reporting Requirements.**

Reporting requirements must be met during the life of the grant (refer to the *OJP Financial Guide* for a full explanation of these requirements, special conditions and any applicable exceptions). The payment systems contain edits which will prevent access to funds if reporting requirements are not met on a timely basis. Refer to Step 5 attachments for forms, due date information, and instructions.

**Step 6. Questions about your ODP award?**

A reference sheet is provided containing frequently asked financial questions and answers. If you have questions concerning this checklist or any financial aspect of your award, contact the Office of the Comptroller's Customer Service Center at **1-800-458-0786** or by email at [askoc@ojp.usdoj.gov](mailto:askoc@ojp.usdoj.gov). Customer Service staff are available from 9:00 a.m. to 6:00 p.m. EST, Monday-Friday.

# APPENDIX G

## GUIDANCE FOR THE BSIR



## Guidance for the Biannual Strategy Implementation Report (BSIR)

### A. Biannual Strategy Implementation Report (BSIR) Web Application

ODP will provide a web application for submission of the BSIR. All reports must be completed and submitted to ODP electronically using the web application. All information submitted to ODP through these reports is considered to be dynamic. Each report submitted will be stored as a historical record of that submission. Updates will be made during subsequent submissions. It is therefore critical that each report submitted be comprehensive and include a thorough update of all information requested. All reports must be transmitted via the web in accordance with ODP-scheduled submission deadlines. The URL to the new web application is <https://www.reporting.odp.dhs.gov/>.

### B. BSIR Report

For this grant process, applicants are not required to provide budget detail worksheets with their application (except for eligible ferry systems submitting candidate projects). ***However, grantees will be required to submit budget data to ODP via the web as part of the BSIR submission due December 31, 2005. The BSIR should account for all funds awarded, and the applicable SAAs are responsible for completing and submitting all BSIR reports.***

The BSIR is a detailed report of the planned activities associated with ODP grant funding. The BSIR will also provide a complete accounting of how the state has complied with the requirement to pass through 97% of all funds to transit agencies, and will also demonstrate how the planned expenditure of grant funds will be used to administer the grant and to fund the critical resource gaps identified in the RTSS and individual transit agency SEPPs. This will be accomplished through the specific identification of a project or projects to be accomplished by each sub-grantee with funds provided during the grant award period. All funds provided must be linked to one or more projects. States are reminded to keep a record of sub-grantee budget worksheets and must make them available for DHS review upon request.

This report must be completed for all funds retained by the state and for each sub-award. Allocation of all financial resources provided through the FY 2005 TSGP must be used to fund the critical resource gaps identified in the RTSS and the individual transit agency SEPPs.

### C. Grant Reporting Timeline

Based on a 30 month period of performance, ODP expects most grants will have a reporting schedule similar to timeline below (see Figure 1). Most grants will have SEVENTEEN submissions over the course of the period of performance including, **FIVE BSIR submissions, and one final BSIR submission.**

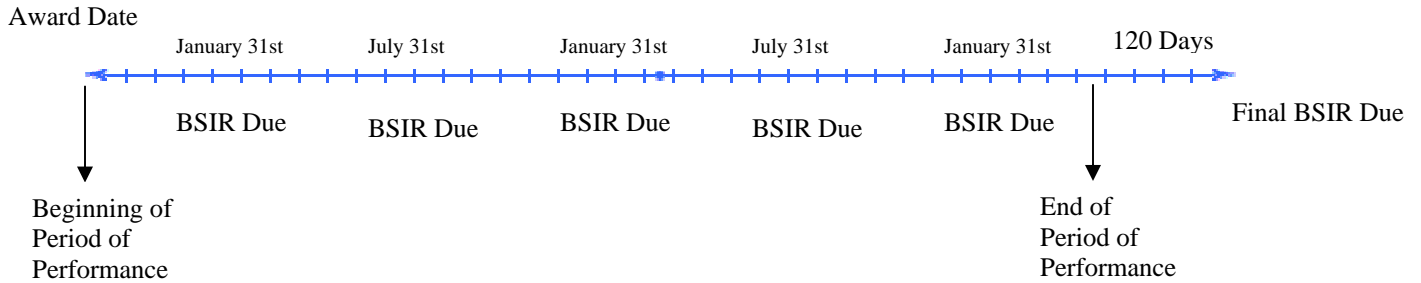


Figure 1. Grant Reporting Timeline

### D. Reported Information

While the web application for the BSIR will be provided to grantees, it is important for applicants to fully understand the data points that must be collected. Each BSIR will include, but is not limited to, the following information for funds provided to each sub-grantee and funds retained at the state level:

1. Jurisdiction Name
2. Total Award Amount
3. List the RTSS goal or objective that is being supported by the project
4. Identify the amount of funding designated for each discipline from each grant program area:
  - Regional Transportation System
5. Identify the solution area(s) in which expenditures will be made and the amount that will be expended under each solution area:
  - Planning
  - Organization
  - Equipment
  - Training
  - Exercises
  - M&A
6. Metrics indicating project progress/success

**Note:** the web application provided by ODP will include appropriate data fields for all information discussed above. Additionally, brief narrative descriptions may be required for certain data points, such as project titles, etc.

# APPENDIX H

## APPROVAL PROCESS FOR NON-ODP DEVELOPED COURSES

## Approval Process for Non-ODP Developed Courses

1. Request for review of non-ODP developed training courses should be made through the SAA to ODP using the Course Approval Request Form. This form is found in the Office of State and Local Government Coordination and Preparedness (SLGCP) Course Approval Process, Non-SLGCP Developed Courses, Appendix B, which is available on the ODP website at: <http://www.ojp.usdoj.gov/odp/training.htm>.
2. The ODP Transportation Infrastructure Security Division (TISD) will perform a preliminary review to ensure all training course materials are included and, if complete, will forward the request to the ODP Training Division. Notable change from FY04 language: All course materials must be submitted with the original application, and conditional approvals are no longer offered.
3. Upon receipt of the request, the ODP Training Division will respond as follows (See Appendix C of the SLGCP Course Approval Process, Non-SLGCP Developed Courses):
  - Contents will be inventoried and logged into the SLGCP Training Approval Tracking System;
  - An in-depth cross-check for potential duplication of training courses will be conducted; and,
  - An initial review and comparison to SLGCP standards will be performed.
4. ODP will initiate an independent subject matter review of course materials based on the completed application.
5. The independent review for subject matter accuracy, statutory compliance, and instructional design will be completed within 15 working days from receipt of the course materials. For courses that require on-site review the period may be extended to 60 days.
6. Upon completion of the independent review and the Course Evaluation, Observations, and Findings form, the ODP Training Division will notify the ODP TISD and the appropriate SAA of the outcome and provide either the letter of approval or disapproval. Notification of results will be completed within five (5) working days from receipt of the Course Evaluation, Observations, and Findings form.

Materials produced under ODP grant agreements may be copyrighted by the grantee. However, ODP retains an unlimited, irrevocable, and non-transferable license to use such material for certain governmental purposes. ODP has determined that it is in the interest of the federal government to allow state and local entities to reproduce, for governmental use, materials produced under ODP grants. If you wish to reproduce such materials, please contact ODP with the specifics of your request.

# APPENDIX I

## GUIDANCE FOR DEVELOPMENT OF INTEROPERABLE COMMUNICATIONS PLANS

## Guidance for Development of Interoperable Communications Plans

In May 2004, ODP adopted language about grant guidance developed by SAFECOM in an effort to ensure interoperability through the various layers of federal, state and local government. (See ODP Information Bulletin #113.) SAFECOM developed this general grant criteria in concert with representatives of the public safety community in an effort to coordinate the way in which funding is allocated and to maximize the prospects for interoperable communications. **Although this guidance was developed by SAFECOM for a separate grant program, ODP grantees are encouraged to follow the guidelines set forth in the document.**

The intent of the SAFECOM grant guidance is to ensure that the communications equipment being procured will lead to improved multi-disciplinary and/or multi-jurisdictional interoperable public safety communications. The grant guidance provides a list of questions to be answered in order to demonstrate how the applicants proposed project would enhance interoperability. The guidance also encourages that—where appropriate—applicants purchase equipment that meets standards that have been developed and adopted by the public safety communications community—ANSI/TIA/EIAA-102 Phase 1 (project 25) suite of standards. This recommendation is intended for government-owned or -leased land mobile public safety radio equipment, and its purpose is to make sure that such equipment or systems are capable of interoperating with other public safety land mobile equipment or systems. It is not intended to apply to commercial services that offer other types of interoperability solutions and does not exclude any application if it demonstrates that the system or equipment being proposed will lead to enhanced interoperability. The grant guidance does not propose to preclude funding of non-Project 25 equipment when there are compelling reasons for using other solutions. Absent these compelling reasons, ODP intends that Project 25 equipment will be preferred for digital systems to which the standard applies.

The SAFECOM interoperable communications guidance addresses the following issues:

- Criteria
  - Who Should Be Involved with Public Safety Communications Interoperability;
  - Lifecycle of Public Safety Communications Projects;
  - Common Public Safety Communications Goals;
  - Common Criteria for All Grant Applicants;
  - Standards; and,
  - Governance.

- Criteria for Public Safety Communications Equipment Grants
  - Building, Upgrading, Enhancing, Replacing and Maintaining Public Safety Communications Systems and Equipment
  
- Supplemental Criteria for Public Safety Equipment Grants
  - Planning for public safety communication systems;
  - Training public safety staff on issues related to emergency response communications;
  - Managing public safety communications projects; and,
  - Generic Examples of Linking Disparate Public Safety Communications Systems.

The SAFECOM grant guidance materials are available in their entirety on the SAFECOM website (<http://www.safecomprogram.gov>) in the electronic library. (See <http://www.safecomprogram.gov/libresults.cfm?libid=431&secid=3>.) They can also be accessed through ODP Information Bulletin #113, posted on the ODP website at <http://www.ojp.usdoj.gov/odp/docs/bulletins.htm>.

# APPENDIX J

# HOMELAND SECURITY PREPAREDNESS TECHNICAL ASSISTANCE PROGRAM



# Homeland Security Preparedness Technical Assistance Program

## A. Program Overview

ODP's Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides direct assistance to state and local jurisdictions to improve their ability to prevent, respond to and recover from threats or acts of terrorism and other hazards. A primary objective of the program is to enhance the capacity of state and local jurisdictions, as well as special needs jurisdictions such as port authorities and transit agencies to develop, plan and implement effective strategies for threats or acts of terrorism and other hazards. Technical Assistance (TA) may be provided to state and local governments, law enforcement, fire, hazardous materials, Citizen Corps Councils, and other community agencies that have appropriate responsibilities.

***All TA services are available to eligible recipients at no charge. ODP will cover the cost of providing the technical expertise, travel, and related expenses.***

## B. Technical Assistance Defined

Technical assistance is a process of providing help to resolve a problem and/or create innovative approaches to **prevention, response, and recovery**. TA seeks to provide state and local jurisdictions with assistance that can accomplish one or more of the following objectives:

- Identify a problem;
- Address an identified problem;
- Address items in a corrective action plan (CAP) from a completed exercise; and,
- Fill "gaps" between equipment, training and exercise programs.

TA deliveries may take a variety of forms that can be combined or modified to meet the specific needs of each requesting state/local jurisdiction. In order to best accommodate the wide variety of TA needs and deliverables, ODP supports several levels of technical assistance:

- **LEVEL ONE:** Provision of general information to raise awareness or enhance familiarity with practices/protocols required within all jurisdictions. Level One delivery methods include:
  - Information
  - Resources

- **LEVEL TWO:** Delivery of solution packages and performance models drawn from federal, state, and local studies, best practices, and experience that guide the implementation of various initiatives. Level Two delivery methods include:
  - Models
  - Templates
  - Samples
  
- **LEVEL THREE:** Delivery of rigorous, customized solutions through direct, on-site support. Training, guidance, and facilitation efforts maximize direct interaction between TA providers and TA recipients to ensure the successful implementation of the most complex initiatives. Level Three delivery methods include:
  - On-site Specific Training
  - Train-the-Trainer Programs
  - Guidance
  - Facilitation of Workshops and Meetings

Prevention, response and recovery, as outlined in the Homeland Security Presidential Directive/HSPD-8, December 2003, are defining elements of the Homeland Security Preparedness Technical Assistance Program, and serve as the foundation for all TA services. As a result, the HSPTAP is divided into three sections that correspond with these preparedness objectives:

- **Prevention:** Detect, deter, and mitigate threats to our homeland.
- **Response:** Lead, manage, and coordinate the national response to acts of terrorism, natural disasters, or other emergencies.
- **Recovery:** Lead national, state, local, and private sector efforts to restore services and rebuild communities after acts of terrorism.

## C. How to Request Technical Assistance

All requests for technical assistance must be made in writing and sent through the SAA to ODP for approval, coordination and execution. If the SAA determines the request is in-line with regional and transit agency requirements, the SAA sends the request to the ODP Technical Assistance Division (TAD) using the "TA Services Request" form found in the online catalog. The request can be faxed or mailed to TAD at:

**Office for Domestic Preparedness  
Technical Assistance Division  
810 7<sup>th</sup> Street, NW  
Washington, DC 20531**

**Fax: (202) 786-9921**

## D. Contact and Further Information

TA support is available on a first-come, first-served basis subject to the availability of funds. Additional detail on the information in this section is available online at:

<http://www.ojp.usdoj.gov/odp/ta.htm>

For further information on requesting technical assistance, contact the ODP Technical Assistance Division or the CSID at 1-800-368-6498 or e-mail [askcsid@dhs.gov](mailto:askcsid@dhs.gov).

# APPENDIX K

## ACRONYMS AND ABBREVIATIONS

## Acronyms and Abbreviations

### A

AAR	After Action Reports
AEL	Authorized Equipment List
ANSI	American National Standards Institute

### B

BSIR	Biannual Strategy Implementation Reports
------	--

### C

CAP	Corrective Action Plan
CAPR	Categorical Assistance Progress Reports
CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosive
CFDA	Catalog of Federal Domestic Assistance
COTP	Captain of the Port
CSID	Centralized Scheduling and Information Desk

### D

D&B	Dun and Bradstreet
DHS	U.S. Department of Homeland Security
DPETAP	Domestic Preparedness Equipment Technical Assistance Program
DUNS	Data Universal Numbering System

### E

EOC	Emergency Operations Center
EOP	Emergency Operations Plans

### F

FAR	Federal Acquisition Regulations
FOIA	Freedom of Information Act
FSR	Financial Status Report
FTA	Federal Transit Administration
FTE	Full-Time Employees

### G

GAN	Grant Adjustment Notice
GMS	Grants Management System
GPS	Global Positioning Systems

### H

HDER	Homeland Defense Equipment Reuse
HRSA	Health Resources and Services Administration
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
HSPTAP	Homeland Security Preparedness Technical Assistance Program

**I**

IAB	Interagency Board
IAIP	DHS Information Analysis and Infrastructure Protection Directorate
ICS	Incident command system
IED	Improvised Explosive Device
IP	Improvement Plan
ISIP	Initial Strategy and Implementation Plan

**L**

LLIS	Lessons Learned Information Sharing
LOCES	Letter of Credit Electronic Certification System

**M**

M&A	Management and Administrative
MIPT	Memorial Institute for the Prevention of Terrorism
MOU	Memorandum of Understanding
MTSA	Maritime Transportation Security Act

**N**

NCJA	National Criminal Justice Association
NIC	NIMS Integration Center
NIMCAST	NIMS Capability Assessment Support Tool
NIMS	National Incident Management System

**O**

OC	Office of the Comptroller
OCMI	Officer in Charge of Marine Inspection
ODP	Office for Domestic Preparedness
OJP	Office of Justice Programs
OGC	Office of General Counsel
OMB	Office of Management and Budget

**P**

PAPRS	Phone Activated Paperless Request System
POC	Point of Contact
POETE	Planning, Organization, Equipment, Training, and Exercises
PPE	Personal Protective Equipment

**R**

RTSWG	Regional Transit Security Work Group
RTSS	Regional Transit Security Strategy

**S**

S&T	Science and Technology
SAA	State Administrative Agency
SEL	Standardized Equipment List
SHSP	State Homeland Security Program

SHSS State Homeland Security Strategy  
DHS Office of State and Local Government Coordination and  
SLGCP Preparedness  
SPOC Single Point of Contact

**T**

TA Technical Assistance  
TEW Terrorism Early Warning  
TIA Terrorism Incident Annex  
TSARM TSA Self Assessment Risk Modules  
TSGP Transit Security Grant Program  
TSI Transportation Security Incident

**U**

UAHSS Urban Area Homeland Security Strategy  
UAWG Urban Area Working Group