U.S. DEPARTMENT OF HOMELAND SECURITY

FISCAL YEAR 2009

TRANSIT SECURITY GRANT PROGRAM

GUIDANCE AND APPLICATION KIT

NOVEMBER 2008

U.S. DEPARTMENT OF HOMELAND SECURITY

Title of Opportunity: FY 2009 Transit Security Grant Program (TSGP)

Funding Opportunity Number: DHS-09-GPD-075-1961

Federal Agency Name: FEMA Grant Programs Directorate (GPD)

Announcement Type: Initial

Dates: Completed applications must be submitted **no later than 11:59 PM EST, January 13, 2009.**

Additional overview information:

Changes have been implemented for the fiscal year (FY) 2009 Transit Security Grant Program (TSGP). Changes from previous years are summarized below.

Eligible Applicants

Per the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329), awards will be made directly to transit agencies; the State Administrative Agency (SAA) is no longer the grantee. As such, transit agencies will be responsible for submitting their own applications, including Investment Justifications and Detailed Budgets, through the *grants.gov* website by the application submission deadlines discussed in this grant guidance.

Eligible agencies were determined by the Urban Areas Security Initiative (UASI) urban areas list and the National Transit Database based on unlinked passenger trips.

- Tier I will continue to be comprised of the transit agencies in the eight highest-risk urban areas, and will continue to utilize the cooperative agreement process.
- Tier II will consist of all other eligible transit agencies.

Cost Sharing Requirements

Pursuant to the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009 (Public Law 110-329)*, there is no cost share requirement for the TSGP.

Cooperative Agreements in Tier I

Cooperative Agreements will be signed between DHS and each agency that is a member of the Regional Transit Security Working Group (RTSWG) for each Tier I region.

Funding Priorities

The funding priorities have been expanded to include the following project types that were not included in the FY 2008 TSGP:

- Interoperable Communications
- Evacuation Plans
- Anti-terrorism security enhancement measures for low-density stations

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FUNDING OPPORTUNITY DESCRIPTION

The Transit Security Grant Program (TSGP) is one of six grant programs that constitute the Department of Homeland Security (DHS) Fiscal Year (FY) 2009 transportation infrastructure security activities.[1] These grant programs are part of a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the nation's critical infrastructure against risks associated with potential terrorist attacks. The TSGP is an important component of the Department's effort to enhance the security of the Nation's critical infrastructure. The program provides funds to owners and operators of transit systems (which include intra-city bus, commuter bus, and all forms of passenger rail) to protect critical surface transportation infrastructure and the traveling public from acts of terrorism, major disasters, and other emergencies. The FY 2009 TSGP is authorized by section 1406 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (the 9/11 Act) and the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009* (Public Law 110-329).

The funding priorities for the FY 2009 TSGP reflect the Department's overall investment strategy. Of these priorities two have been paramount—risk-based funding and regional security cooperation. This document also reflects changes called for in the 9/11 Act and the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009* (Public Law 110-329).

Federal Investment Strategy
The TSGP is an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness, including the security of America's critical infrastructure. The program implements objectives addressed in a series of post-9/11 laws, strategy documents, plans, Executive Orders, and Homeland Security Presidential Directives. Of particular significance is the National Preparedness Guidelines and its associated work products, including the National Infrastructure Protection Plan (NIPP) and its transportation sector-specific plans and Executive Order 13416 (Strengthening Surface Transportation Security). The National Preparedness Guidelines is an all-hazards vision regarding the Nation's four core preparedness objectives: to prevent, protect against, respond to, and recover from terrorist attacks and catastrophic natural disasters.

The National Preparedness Guidelines define a vision of what to accomplish, and provides a set of tools to forge a unified national consensus about what to do and how to work together at the Federal, State, Local, and Tribal levels. Private sector participation is integral to the Guidelines' success. It outlines 15 scenarios of terrorist attacks or national disasters that form the basis of much of the Federal exercise and training regime. In addition, it identifies 37 critical target capabilities that DHS is making the focus of key investments with State, Local and Tribal partners.

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[1] The other components include grants targeted at marine ports, intercity bus companies, and the trucking industry.

DHS expects its critical infrastructure partners to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations and investment to the degree practicable. Our funding priorities outlined in this document reflect the National Preparedness Guidelines' priority investments as appropriate. Programmatic requirements or priority investment categories reflecting the national preparedness architecture for this grant program are identified below. Additional information may be found at: http://www.dhs.gov/xprepresp/publications.

Risk-Based Funding

Based upon ongoing intelligence analysis, extensive security reviews, consultations with operations and security officials of mass transit and passenger rail agencies, State and local government officials, and Federal security partners, and Congressional direction, DHS once again intends to focus the bulk of its available transit grant dollars on the highest-risk systems in our country's largest metropolitan areas. Eligible agencies were identified using a comprehensive, empirically-grounded risk analysis model that was also used in FY 2008.

DHS has also identified priority project types and placed them into groups based on their effectiveness to reduce risk. Certain types of projects that are effective at addressing risk will be given priority consideration for funding. These groups have been prioritized based upon Departmental priorities and their ability to elevate security on a system-wide level, to elevate security to critical infrastructure assets, and to reduce the risk of catastrophic events and consequences. Table 1 outlines in detail the groups and sample project types. While the groups are prioritized, the projects within each group are not. The sample project types are not comprehensive and projects not listed may be eligible for funding if they fall into one of the project effectiveness group descriptions. Project types that do not fall into one of the project effectiveness groups are not eligible for funding in the FY 2009 TSGP.

Regional Security Coordination

DHS places a very high priority on ensuring that all TSGP applications reflect robust regional coordination and can show an investment strategy that institutionalizes regional security strategy integration. DHS will work with TSGP applicants to strengthen and support regional consultation processes. Close coordination of the Federal TSGP investments is encouraged in all applications and is reflected in the regional collaboration component of the overall project score. DHS will continue to work collaboratively with each region to discuss risk specific to the region, regional security priorities to mitigate that risk, and the identification of projects with significant risk mitigation potential.

Regional Transit Security Working Groups (RTSWG)

DHS strongly encourages a review and update of each region's Regional Transit Security Strategy (RTSS).

Tier I

In order to support the cooperative agreement process, each Tier I region must have a RTSWG. The following entities must be invited to actively participate in the group and

have full membership rights in the RTSWG: eligible transit agencies and their security providers, eligible law enforcement agencies (as sub-grantees), the State Office of Homeland Security (OHS), and Amtrak (specifically in the National Capital Region, Philadelphia, New York, Boston, Chicago, and Los Angeles). For agencies that share assets with Amtrak, close coordination on the expenditure of funds for security enhancements at shared facilities must occur. The RTSWGs must include representation from the Urban Area Working Group(s), and freight railroad carriers if their operations intersect with that of the transit agencies.

The RTSWG must also extend an invitation to the State Administrative Agency (SAA) to serve as a co-chair on the RTSWG with any other current chairs/co-chairs established by the region, however the SAA is under no obligation to accept this position. It is the responsibility of the applicable co-chairs to serve as facilitators and coordinators for the RTSWG meetings and any other regional transit security grants activities as determined by each RTSWG.

TSA and the Federal Emergency Management Agency (FEMA) will serve as ex-officio members of the RTSWG and meet with each Tier I RTSWG throughout the application process to collaboratively develop project concepts, determine how projects will be selected for funding, and develop detailed cost estimates and investment justifications.

Tier II
Given DHS's preference to continue the promotion of regional risk mitigation strategies, eligible transit agencies in Tier II are encouraged to develop RTSWGs in their areas if they are not already in existence. Members should include eligible transit agencies and their security providers, local law enforcement agencies, Amtrak and eligible freight railroad carriers (where transit operations intersect). They also should include the SAA and the State OHS. Formation of such RTSWGs would facilitate a regional approach to security. Investment Justifications developed collaboratively that involve multiple eligible entities in implementation will result in funding preferences as reflected by the regional collaboration component of the overall project score.

Project Effectiveness Groups

DHS has identified several different project types, and grouped them into five prioritized groups based on their effectiveness to reduce risk and alignment with Departmental priorities.

Table 1: Project Effectiveness Groups Listed in Priority Order

Priority Group #	Project Effectiveness Group Score	Project Effectiveness Group Description	Project Types

1	5	Training, Operational Deterrence, Drills, Public Awareness Activities	• Developing Security Plans
			• Training (basic before follow-on):
			  o Security Awareness
			  o DHS-Approved Behavior Recognition Detection Courses
			  o Counter-Surveillance
			  o Immediate Actions for Security Threats/Incidents
			• Operational Deterrence
			  o Canine Teams
			  o Mobile Explosives Screening Teams
			  o VIPR Teams
			• Crowd Assessment
			• Public Awareness

2	4	Multi-User High-Density Key Infrastructure Protection	Anti-terrorism security enhancement measures, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions for**:** • Tunnel Hardening • High-Density Elevated Operations • Multi-User High-Density Stations • Hardening of SCADA systems

3	3	Single-User High-Density Key Infrastructure Protection	• Anti-terrorism security enhancement measures for**:**
			  o High-Density Stations
			  o High-Density Bridges

4	2	Key Operating Asset Protection	• Physical Hardening/Security of Control Centers • Secure stored/parked trains, engines, and buses o Bus/Rail Yards • Maintenance Facilities
5	1	Other Mitigation Activities	• Interoperable Communications[2] • Evacuation Plans • Anti-terrorism security enhancement measures for low-density stations

The sample project types are not comprehensive and projects not listed may be eligible for funding if they fall into one of the project effectiveness group descriptions. Project types that are not in Project Effectiveness Priority Groups 1-5 will not be considered for funding under the FY 2009 TSGP.

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[2] Additional information on interoperable communications is included in the FY 2009 SAFECOM Recommended Guidance for Federal Grant Programs, which can be found on:
http://www.safecomprogram.gov/SAFECOM/grant/default.htm

Operational Packages (OPacks)

Operational costs were introduced as an allowable expense element with the FY 2007 TSGP Supplemental. For FY 2009, eligible **Tier I** transit systems that have a dedicated transit security/police force, a transit security operations dispatch center, and a daily unlinked ridership of 200,000 or greater are eligible to apply for operational expenses. Also, certain law enforcement agencies that act as the primary transit security provider for large transit systems (as identified in Table 3) are eligible for these types of operational activities as sub-recipients of the transit systems.

The allowance of operational expenses continues the initiative introduced with the FY 2007 TSGP Supplemental, and applies exclusively to counterterrorism activities. OPack funds may not be used to supplant existing agency programs already supported by the agency. OPack funds may only be used for **new capabilities/programs**. OPack capabilities must be funded on a full-time basis, only for their intended purposes in line with the capabilities and functions detailed within this guidance in Part IV, Section E. Please also refer to Part IV, Section E for additional submission requirements related to OPacks.

Pre-Priced Fast Track Training

Recent assessments and evaluations have highlighted the fact that security training for frontline employees of transit systems is a critical vulnerability that must be addressed as soon as possible. In order to ease the administrative burden associated with submitting an Investment Justification, a pre-priced fast track training option is available to Tier I and II agencies. If the pre-priced option, outlined below, does not meet the needs of an agency, they may submit a full Investment Justification and detailed budget to be considered in the competitive application review process.

Systems may submit a request for fast track training by using the training cost matrix contained in Part VIII and providing a detailed budget worksheet found later in this document. Eligible applicants should use this matrix to determine the amount of funding that is pre-approved through the grant process for training classes, depending on the type of course and the type of employees being trained. Applicants should ask for the exact amount of funds specified in the matrix to ensure compliance with pre-approved costs, and to expedite the award process. Additional costs above the pre-approved amount will not be funded.

The matrix includes a number of different elements: the types of training ("Basic" and "Follow-On"), employee categories, and course duration, and indications of what types of employees should receive what type of training. Transit systems must meet "basic" training requirements before requesting funds for "follow-on" training courses. Requests for funding of follow-on training courses must include a statement that certifies that the basic training requirements have been fulfilled or are not applicable otherwise they will not be funded. Requests for follow-on training should include the following information:

- Type, name, and vendor of the basic training classes frontline employees have received; and
- Dates when the employees received the training, including how many employees attended each class.

To complete the training cost matrix, on the "Data Entry" sheet, transit systems should enter the number of employees that should receive each type of training. The matrix automatically calculates training cost based on the course type, number of employees, and course duration. The calculation also includes appropriate management and administration (M&A) costs for the transit agency. If the calculated training costs exceed the actual costs incurred, the transit agency is permitted to reprogram the excess funds, with DHS approval, and put these funds toward additional employee training or other security-related projects. If however, the calculated training costs are lower than what the transit agency incurred, the transit agency is expected to cover the additional cost.

More information on the training cost matrix, as well as a list of approved courses and vendors, can be found in Part VIII.

TSGP Program Management: Roles and Responsibilities at DHS
Within DHS, TSA has been given the legal mandate pursuant to the *Aviation and Transportation Security Act of 2001* (Public Law 107-71, November 19, 2001) and the *Homeland Security Act of 2002* (Public Law 107-296, November 25, 2002) to manage the Department's security programs and provide oversight for security of the transit industry. TSA provides transit system subject matter expertise within DHS and determines the primary security architecture for the TSGP program. Its subject matter experts have the lead in crafting all selection criteria associated with the application review process. TSA coordinates daily with the DHS Chief Intelligence Officer to review intelligence reporting and craft intelligence risk assessments related to the transportation sector.

FEMA has the lead for designing and operating the administrative mechanisms needed to manage the Department's core grant programs, including this grant program. In short, FEMA is responsible for ensuring compliance with all relevant Federal grant management requirements and delivering the appropriate grant management tools, financial controls, audits and program management discipline needed to support the TSGP.

While both TSA and FEMA collaborate and interface directly with our transit stakeholders, pursuant to section 1406 and 1513 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53, August 3, 2007), TSA will prioritize specific investments and set security priorities associated with the TSGP.

Effective management of the TSGP entails collaboration between agencies within DHS, the boundaries of which have been defined by the DHS Secretary. In order to make this partnership seamless to our external partners, upon award of a FY 2009 TSGP grant, two individuals will be identified for each transit agency who will serve as primary account managers—one individual from TSA and one from FEMA. These two individuals will be assigned to be turnkey facilitators for our grant recipients. They will meet directly with grantees as needed, and will coordinate with each other routinely to facilitate support for the individual transit agencies in a given region. These individuals will be the one-stop TSGP account managers for our transit agency customers.

AWARD INFORMATION

This section summarizes the award period of performance and the total amount of funding available under the FY 2009 TSGP, describes the basic distribution method used to determine final grants awards, and identifies all eligible applicants for FY 2009 funding.

Award Period of Performance
The period of performance of this grant is 36 months with the exception of fast-track training and OPacks as noted below. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

The period of performance for fast-track training is 24 months.

The period of performance for OPacks is 30 months. Additionally, transit agencies that have shown their staffing plan to hire permanent staff to fill OPack positions will be allowed to fund overtime expenses for existing staff for **the first 6 months of the grant period of performance** to ensure there is sufficient time for new-hire positions to be fully trained and put into place.

Available Funding
In FY 2009, the total amount of funds distributed under the TSGP will be $388,600,000. The funding distribution is summarized in Table 2 below.

Table 2: TSGP FY 2009 Available Funding

Transportation Mode	FY 2009 Funding
Tier I: Rail, Intracity Bus, & Ferry	$312,000,000
Tier II: Rail & Intracity Bus	$36,600,000
Intercity Passenger Rail (Amtrak)*	$25,000,000
Freight Rail Security Grant Program*	$15,000,000
TOTAL	**$388,600,000**

*There are separate grant guidance and application kits for the Intercity Passenger Rail and Freight Rail Security Grant Programs.

<u>Tier I</u>

The FY 2009 TSGP awards for Tier I agencies will be made in the form of cooperative agreements with each Tier I agency. Under cooperative agreements, DHS will partner with eligible transit agencies and their security providers in each Tier I region to address risk in that region. In order to ensure the region addresses risk in a comprehensive and collaborative manner, DHS will work collaboratively with each region to discuss the regional risks and threats and then help agencies identify projects with the greatest security impact. The scoring methodology described in this grant guidance will provide the framework for how DHS will work with the regions to identify and prioritize security projects for funding. DHS will work closely with the region, transit systems and security providers, pre- and post-award, to ensure that the projects are being implemented effectively. As in FY 2008, DHS will conduct extensive outreach and provide continuing support to answer inquiries and to assist agencies with filing the strongest possible applications.

Transit agencies in eight metropolitan areas are the Tier I transit investment agencies. In each of these eight areas, DHS identifies a target funding level for the transit agencies in that region. Dollar amounts for the FY 2009 funding to the TSGP were determined in the same manner as for the previous years TSGP allocations. Funding may move between tiers and/or regions to ensure that all FY 2009 TSGP funding goes towards eligible projects that have the highest security return on investment.

<u>Tier II</u>

The FY 2009 TSGP awards for Tier II agencies will be competitively awarded. Eligible transit agencies in each tier will compete for a single pool of funds for intracity bus and rail security projects.

ELIGIBILITY INFORMATION

A. Eligible Applicants

Agencies eligible for FY 2009 TSGP funding were identified using a comprehensive, empirically-grounded risk analysis model. The risk methodology for the TSGP is consistent across modes and is linked to the risk methodology used to determine eligibility for the core DHS State and local grant programs. TSGP basic eligibility is derived from the Urban Areas Security Initiative (UASI). Certain ferry systems are eligible to participate in the FY 2009 TSGP, and receive funds under the Tier I cooperative agreement process. However, any ferry system electing to participate and receive funds under the FY 2009 TSGP cannot participate in the FY 2009 Port Security Grant Program (PSGP), and will not be considered for funding under the FY 2009 PSGP. Likewise, any ferry system that participates in PSGP cannot be considered for funding under TSGP.

The 9/11 Act sets a requirement for eligibility that agencies have either undergone a security assessment by DHS or developed a security plan. Additionally, the legislation directs that grant funds be used to address items in the security assessment or the security plan. In order to be eligible for the FY 2009 TSGP, transit agencies must have either undergone a security assessment conducted by DHS, such as the Baseline Assessment for Security Enhancement (BASE) program security assessment performed by TSA Transportation Security Inspectors-Surface, or developed and/or updated their security plan, within the last **three years**.

Entities providing transit security (e.g., city/county police department, transit agency's own police department) for a transit agency must approve the security plan. The signature of a responsible official from the agency's transit security provider serves as this approval. If there is more than one provider in the core service area, all transit security providers must review and concur with the plan. Certification of the existence of these documents must be provided to DHS as a part of the investment justification. Security plans and associated documentation of this approval must be provided to DHS upon request.

In addition, each Tier I investment justification should be reviewed by the agency's transit security provider prior to the submission to the RTSWG. Table 3 indicates the transit security providers by transit agency. Review is encouraged whether or not the investment specifically involves the security provider.

Within the TSGP, eligibility and target funding levels for Tier I and Tier II grant awards is predicated on a systematic risk analysis that aggregates all of the eligible transit agencies within a given metropolitan area, and then rates these clusters of eligible systems for comparative risk.

The TSGP risk formula is based on a 100 point scale comprised of threat (20 points) and vulnerability/consequences (80 points) variables. The DHS formula incorporates multiple variables. Each variable set is assigned a weight as part of the overall formula,

and all eligible jurisdictions are empirically ranked in each instance on a numerical scale from lowest to highest.

The DHS risk assessment methodology considers critical infrastructure system assets, and characteristics that might contribute to their risk, such as: intelligence community assessments of threat; potentially affected passenger populations, and the economic impact of attack. The relative weighting of variables reflects DHS' overall risk assessment and FY 2009 program priorities. Specific variables include, but are not limited to, the unlinked passenger trips for rail and bus systems, the number of underground track miles, the number of underwater tunnels, and the location-specific intelligence community risk analysis.

The FY 2009 TSGP makes provisions for law enforcement agencies that are principal providers of transit security to a Tier I system, and that maintain dedicated transit units, to receive funding only through a Tier I eligible agency under one or more of the operational packages (OPacks) described fully in this guidance. FY 2009 TSGP funding may be used to support transit-related security activities and not other departmental operations.

Eligibility does not guarantee grant funding.

Table 3: Eligible Rail, Intracity Bus, Ferry Transit Agencies and Law Enforcement Agencies

Tier I

Tier	State	Urban Area	Eligible System	Transit Security Provider*	FY 2009 Target
I	CA	Bay Area	Alameda-Contra Costa Transit District (AC Transit)	Alameda County Sheriff's Office	$28,259,722
				Contra Costa County (CA) Office of the Sheriff	
			Altamont Commuter Express (ACE)		
			Bay Area Rapid Transit (BART)	BART Police Department	
			Central Contra Costa Transit Authority		
			City of Alameda Ferry Services (Blue and Gold Lines Fleet)		
			City of Vallejo Transportation Program (ferry only)		
			Golden Gate Bridge, Highway and Transportation District (including Ferry)		
			Transbay Joint Powers Authority		
			Peninsula Corridor Joint Powers Board (Caltrain)		
			San Francisco Municipal Railway (MUNI)	San Francisco Police Department	
			San Mateo County Transit Authority (SamTrans)		
			Santa Clara Valley Transportation Authority (VTA)		
		Greater Los Angeles Area (Los Angeles/Long Beach and Anaheim/Santa Ana UASI Areas)	City of Los Angeles Department of Transportation		$13,333,678
			Foothill Transit		
			Long Beach Transit		
			Los Angeles County Metropolitan Transportation Authority	Los Angeles Sheriff's Department	
			Montebello Bus Lines		
			Omnitrans (San Bernardino)		
			Orange County Transportation Authority (OCTA)	Orange County Sheriff's Department	
			Santa Monica's Big Blue Bus		
			Southern California Regional Rail Authority (Metrolink)		
	DC/MD/VA	Greater National Capital Region (National Capital Region and Baltimore UASI Areas)	City of Alexandria (Alexandria Transit Company)		$38,080,340
			Fairfax County Department of Transportation		
			Maryland Transit Administration (MTA)	Maryland MTA Police Department	
			Montgomery County Department of Transportation		
			Potomac and Rappahannock Transportation Commission		
			Prince George's County Department of Public Works and Transportation		
			Virginia Railway Express (VRE)		
			Washington Metropolitan Area Transit Authority	Metro Transit Police Department	
	GA	Atlanta Area	Georgia Regional Transportation Authority		$6,399,055
			Metropolitan Atlanta Rapid Transit Authority (MARTA)	MARTA Police Department	
	IL/IN	Chicago Area	Chicago Transit Authority (CTA)	Chicago Police Department	$24,856,829
			Northeast Illinois Commuter Railroad Corporation (METRA)	METRA Police Department	
			Northern Indiana Commuter Transportation District (NICTD)		
			PACE Suburban Bus		
	MA	Boston Area	Massachusetts Bay Transportation Authority (MBTA) (including Ferry)	MBTA Transit Police Department	$29,259,896
	NY/NJ/CT	New York City/Northern New Jersey Area (New York City and Jersey City/Newark UASI Areas)	Connecticut Department of Transportation		$153,256,664
			Connecticut Transit (Hartford)		
			Connecticut Transit New Haven Division		
			Metropolitan Transportation Authority (MTA) New York City Transit (Subway)	New York City Police Department (NYPD)	
			MTA Long Island Bus		
			MTA New York City Transit (Bus)	New York City Police Department (NYPD)	
			MTA Bus	MTA Police Department	
			MTA Suburban Bus Authority	MTA Police Department	
			MTA Metro-North Commuter Railroad Company	MTA Police Department	
			MTA Long Island Railroad	MTA Police Department	
			New Jersey Transit Corp. (NJT)	NJT Police Department	
			New York City Department of Transportation (Ferry)		
			Port Authority of New York and New Jersey (PANYNJ) (including Ferry)	Port Authority Police Department	
			Westchester County Department of Transportation		
	PA/NJ	Philadelphia Area	Delaware River Port Authority (DRPA)		$18,553,816
			Delaware Transit Corporation		
			Southeast Pennsylvania Transportation Authority	SEPTA Police Department	
			Pennsylvania Department of Transportation		
			New Jersey Transit	NJT Police Department	

Tier	State	Urban Area	Eligible System	FY 2009 Target
II	AZ	Phoenix Area	City of Phoenix Public Transit Department	$36,600,000
			Valley Metro Regional Public Transportation Authority (Valley Metro)	
		Tucson Area	City of Tucson Transit	
	CA	Fresno Area	Fresno Area Express	
		Sacramento Area	Sacramento Regional Transit District	
		San Diego Area	North San Diego County Transit District (NCTD)	
			San Diego Metropolitan Transit System (MTS)	
	CO	Denver Area	Regional Transportation District	
	FL	Jacksonville Area	Jacksonville Transportation Authority	
		Miami/Fort Lauderdale Area (Miami and Fort Lauderdale UASI)	Broward County Division of Mass Transit	
			Miami-Dade Transit	
			South Florida Regional Transportation Authority (Tri-Rail)	
		Orlando Area	Central Florida Regional Transportation Authority	
		Tampa Area	Hillsborough Area Regional Transit Authority (HART)	
			Pinellas Sun Coast Transit Authority	
	HI	Honolulu Area	City and County of Honolulu Department of Transportation Services	
	IL	Urbana-Champaign Area	Champaign-Urbana Mass Transit District	
	IN	Indianapolis Area	Indianapolis Public Transportation Corporation	
	KY	Louisville Area	Transit Authority of River City	
	LA	New Orleans Area	Jefferson Parish Department of Transportation	
			New Orleans Regional Transit Authority (NORTA)	
	MA	Springfield Area	Pioneer Valley Transit Authority	
	MI	Detroit Area	City of Detroit Department of Transportation	
			Detroit Transportation Corporation	
			Suburban Mobility Authority for Regional Transportation	
		Lansing Area	Capital Area Transportation Authority	
	MN	Twin Cities Area	Metro Transit	
	MO	Kansas City Area	Kansas City Area Transportation Authority	
		St. Louis Area	Bi-State Development Agency (Metro)	
			Madison County Transit District	
	NM	Albuquerque Area	Sun Tran of Albuquerque	
	NV	Las Vegas Area	Regional Transportation Commission of Southern Nevada	
		Reno	Regional Transportation Commission of Washoe County	
	NY	Albany Area	Capital District Transportation Authority	
		Buffalo Area	Niagara Frontier Transportation Authority	
		Rochester Area	Rochester Genesee Regional Transportation Authority	
	NC	Charlotte Area	Charlotte Area Transit System (CATS)	
	OH	Cincinnati Area	Southwest Ohio Regional Transit Authority	
			Transit Authority of Northern Kentucky	
		Cleveland Area	The Greater Cleveland Regional Transit Authority	
		Columbus Area	Central Ohio Transit Authority	
		Dayton Area	Greater Dayton Regional Transit Authority	
	OR	Portland Area	Clark County Public Transportation Benefit Area (C-TRAN)	
			Tri-County Metropolitan Transportation District (Tri-Met)	
		Eugene Area	Lane Transit District	
	PA	Pittsburgh Area	Port Authority of Allegheny County	
	PR	San Juan Area	Metropolitan Bus Authority	
			Puerto Rico Highway and Transportation Authority (heavy rail)	
	RI	Providence Area	Rhode Island Public Transit Authority	
	TN	Memphis Area	Memphis Area Transit Authority	
		Nashville Area	Nashville Metropolitan Transit Authority	
	TX	Austin Area	Capital Metropolitan Transportation Authority	
		Dallas/Fort Worth/Arlington Area	Dallas Area Rapid Transit (DART)	
			Fort Worth Transportation Authority (The T)	
			Trinity Railway Express (TRE)	
		Houston Area	Metropolitan Transit Authority of Harris County	
		El Paso Area	Mass Transit Department City of El Paso	
		San Antonio Area	VIA Metropolitan Transit	
	UT	Salt Lake City Area	Utah Transit Authority	
	VA	Norfolk Area	Hampton Roads Transit	
		Richmond Area	Greater Richmond Transit Company	

Tier	State	Urban Area	Eligible System	FY 2009 Target
	WA	Seattle Area	Central Puget Sound Regional Transit Authority (Sound Transit)	
			King County Department of Transportation	
			Pierce County Public Transportation Benefit Area Corporation (Pierce Transit)	
			Snohomish County Transportation Benefit Area Corporation (Community Transit)	
		Spokane Area	Spokane Transit Authority	
	WI	Madison Area	Madison Metro Transit	
		Milwaukee Area	Milwaukee County Transit System	
		Amtrak		$25,000,000
		Freight Rail		$15,000,000
		TOTAL		$388,600,000

*Indicates a new eligible transit system for FY 2009

B. Cost Sharing

Pursuant to the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009* (Public Law 110-329), participants of the FY 2009 TSGP will not be required to provide a cost share for funding they receive. If an agency chooses to include a cost share, enhanced consideration will be given during the scoring process.

C. Restrictions

Please see Part IV., Section E for Management & Administration limits, and allowable/unallowable costs guidance.

D. Other

Regional Transit Security Strategy

The program includes a requirement that transit systems selected for funding participate in a RTSWG, as appropriate and described above, for the purpose of developing the Regional Transit Security Strategy (RTSS), and to develop regional consensus on the expenditure of FY 2009 TSGP funds.

The RTSS should serve as the integration point between the individual, risk-based Security Emergency Preparedness Plans (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 SEPP and the RTSS will serve as the vehicle through which transit agencies may justify and access other funding and resources available on a region-wide basis through other grant programs, such as UASI and the State Homeland Security Grant program.

General Requirements

The applicable eligible transit systems will be responsible for administration of the FY 2009 TSGP[3]. In administering the program, the eligible transit system(s) must comply with the following general requirements:

1. **Management and Administration limits.** A maximum of three percent (3%) of funds awarded may be retained by eligible transit agencies. Any funds retained are to be used solely for management and administrative purposes associated with the TSGP award.

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[3] As noted, Amtrak may apply for and receive a direct award through the Intercity Passenger Rail (IPR) program.

2. **Minimum project amounts**. There is no minimum amount for training projects that are submitted using the Training Cost Matrix. The minimum amount that may be requested for projects focused on non-fast track training, exercises, public awareness, and planning is $50,000. The minimum amount that may be requested for other projects is $250,000.

3. **Operating Cost Restrictions.** The 9/11 Act limits how funds can be used for certain operating projects, especially those projects which include operational costs associated with security and counter-terrorism duties. Not more than 30 percent of the funds available for this grant program may be used for "Operating uses" as outlined in the 9/11 Act, Section 1406(b)(2)[4]. More information regarding this limitation is provided in Part IV Section E.

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[4] 9/11 Act (Public Law 110-53), Section 1406(m)(1)(C)

APPLICATION AND SUBMISSION INFORMATION

A. Address to Request Application Package
DHS participates in the Administration's e-government initiative. As part of that initiative, all applications must be filed using the Administration's common electronic "storefront" -- *grants.gov*. Eligible entities must apply for funding through this portal, accessible on the Internet at *http://www.grants.gov*. To access application forms and instructions, select "Apply for Grants," and then select "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions." If you experience difficulties or have any questions, please call the *grants.gov* customer support hotline at (800) 518-4726.

B. Content and Form of Application
1. **On-line application.** The on-line application must be completed and submitted using *grants.gov* after Central Contractor Registry (CCR) registration is confirmed. The on-line application includes the following required forms and submissions:

   - Investment Justification
   - Any additional Required Attachments
   - Standard Form 424, Application for Federal Assistance
   - Standard Form 424A, Budget Information
   - Standard Form 424B, Assurances
   - Standard Form 424C, Budget Information-Construction Form (if applicable)
   - Standard Form 424D, Assurances-Construction Programs (if applicable)
   - Standard Form LLL, Disclosure of Lobbying Activities

   The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "*2009 Rail and Transit Security Grant Program.*" The CFDA number is **97.075**.

2. **Application via *grants.gov*.** FEMA participates in the Administration's e-government initiative. As part of that initiative, all applicants must file their applications using the Administration's common electronic "storefront" -- *grants.gov*. Eligible entities must apply for funding through this portal, accessible on the Internet at *http://www.grants.gov*.

3. **DUNS number.** The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within grants.gov and for CCR Registration. 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 (866) 705-5711.

4. **Valid Central Contractor Registry (CCR) Registration.** The application process also involves an updated and current registration by the applicant. Eligible applicants must confirm CCR registration at *http://www.ccr.gov*, as well as apply for funding through *grants.gov***.**

5. **Investment Justification.** As part of the FY 2009 TSGP application process, applicants must develop a formal Investment Justification that addresses each initiative being proposed for funding. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities. The Investment Justification must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by DHS. Applicants must ensure that the Investment Justification is consistent with all applicable requirements outlined in this application kit.

   The Investment Justification must demonstrate the ability of the transit agency or agencies to provide tangible, physical security enhancements consistent with the purpose of the program and guidance provided by DHS. Applicants must ensure that the Investment Justification is consistent with all applicable requirements outlined in this application kit.

   Applicants may propose up to ten investments within their Investment Justification for individual systems and up to five investments for regional projects (regional projects are those involving two or more eligible systems within the region).

   Investment Justifications must be submitted with the grant application as a file attachment within *grants.gov*. Applicants must use the following file naming convention when submitting the Investment Justifications as part of the FY 2009 TSGP:

   Investment Justification (through *grants.gov* file attachment)
   State_Region_ IJ Number (Example: CO_Denver_IJ_1)

6. **Detailed budget**
   The applicant must also provide a detailed budget for the funds requested. The Detailed Budget must be submitted with the grant application as a file attachment within *grants.gov*. The budget must be complete (with M&A costs included), reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs and any appropriate narrative.

   Detailed budgets must be submitted with the grant application as a file attachment within *grants.gov*. Applicants must use the following file naming convention when submitting Detailed Budgets as part of the FY 2009 TSGP:

   Detailed Budget (through *grants.gov* file attachment)
   State_Region_IJ Number_Budget (Example: CO_Denver_IJ#1_Budget)

A detailed budget template is provided later on in this Part.

7. **Vulnerability Assessment and Security Plan Certification Statement** (if applicable).
A transit agency must have a current (updated within the last three years) vulnerability assessment and security plan in order to apply for other projects. Agencies must certify that they have a current vulnerability assessment and security plan using the certification statement below.

I, [insert name], as [insert title] of [insert name of transit agency], certify that a security evaluation preparedness plan has been developed or updated for my system within the last three years, and has the approval of the transit agency's primary security provider.

Signature _____ Date
(Transit Agency)

Signature _____ Date
(Primary Security Provider)

8. Eligible Tier I applicants electing to pursue OPacks, are required to submit additional documentation and are subject to additional requirements.

For Eligible Tier I applicants electing to pursue OPacks, the following must also be submitted:
   1. A certification statement and supporting documentation from the agency's chief operating official or designee that certifies in writing:
      o The current capability (without Federal funding) for each eligible position (Canine, VIPR, etc).
      o The agency's understanding that funds being used under this provision will only be used either to fill new dedicated full-time OPack positions, or to cover initial overtime costs associated with establishing the OPack position capability approved for FY 2009 TSGP funding by DHS until the new full-time officers are in place.
      o The agency's understanding of the 6-month limitation on overtime referenced above.
      o The agency's understanding that, after the 30-month period of performance, the positions will become the responsibility of the employing agency to sustain. Failure to sustain the level of capability established by the grant will result in disqualification from using future TSGP awards for operational expenses.
   2. A detailed audit process to ensure that supported personnel are involved only in counterterrorism activities as defined per the selected OPack position, and that supported positions are above and beyond pre-grant capabilities. This process must be develop and submitted for review within 60 days of the grant award. The results of these audit activities must be submitted to DHS for review on a semiannual basis.
   3. A 5-year Security Capital and Operational Sustainment Plan. This plan must include how the agency proposes to implement capital projects that will

decrease the need for operational activities, and/or demonstrate how the agency will sustain the operational investments after grant funding has been expended. **Requests for OPacks will not be funded if the agency does not have a Security Capital and Operational Sustainment Plan.**

In addition, awardees must commit to minimum training standards to be set by the Department for all federally funded security positions.

Below is the necessary certification statement.

I, [insert name], as the [insert title of insert agency name], request funds from the fiscal year (FY) 2009 Transit Security Grant Program (TSGP) for operational activities for the [insert region name] region in the amount of [insert dollar amount]. I certify that these operational funds will only be used to fill new dedicated full-time positions related to Operational Packages (OPacks) eligible under the FY 2009 Transit Security Grant Program (TSGP) or to pay for initial overtime costs associated with establishing the OPack position capability approved for 2009 TSGP funding by DHS until the new full-time officers are in place. I also confirm [agency name's] understanding that, after a 30-month period of performance, positions funded with these operational funds will no longer qualify for Federal funding under this or future TSGP awards. In all cases, the activities paid for by the FY 2009 TSGP funds will result in additional capabilities not previously available and/or paid for by the agency/region. I certify [agency name's] understanding that failure to sustain the level of capability established by these operational funds beyond the period of performance will result in disqualification of [agency name] from using future TSGP awards for operational activities.

_____   _____
Signature   Date

C. Investment Justification Template

TSGP applicants must submit a complete investment justification for each proposed investment. The investment justification categories are:

   I.   Background
   II. Strategic and Program Priorities
   III. Impact
   IV. Funding/Implementation Plan

Investment Heading	
Date	
State	
Urban Area	
Agency Name	
Investment Name	
Investment Phase	
Is this a Multi-Agency investment? If yes, which agencies?	
Investment Amount	$

I. Background

Note: This section only needs to be completed once per application, regardless of the number of investments proposed. The information in this section provides background/context for the investment(s) requested, but does not represent the evaluation criteria used by DHS for rating individual investment proposals.

I.A. Identify the transit agency and that agency's point(s) of contact for this investment.	
Response Type	Narrative
Response Instructions	For the transit agency (or lead agency) undertaking the investment, identify the following: • Point of contact's (POC) name and title; • POC's full mailing address; • POC's telephone number; • POC's fax number; • POC's email address; and, • Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.
Response:	

I.B. Describe the operating system for the transit agency undertaking this investment.	
Response Type	Narrative

Response Instructions	For the transit agency (or lead agency) undertaking this investment, describe the following: • Infrastructure; • Ridership data; • Number of passenger miles; • Number of vehicles; • Types of service and other important features; • System map; • Geographical borders of the system and the cities and counties served; and, • Other sources of funding being leveraged for security enhancements
Response	

I.C. Discuss the capabilities the transit agency already has in place, and the capabilities the transit agencies needs in the future.	
Response Type	Narrative

Response Instructions	For the transit agency undertaking this investment, describe the following:
	• Discuss the efforts/capabilities the transit agency has in place to protect any underwater tunnel infrastructure from attacks involving IEDs:
	  o Specific attention should be paid to any enhancements achieved as a result of FY05/06/07/08 TSGP funding;
	• Discuss the efforts/capabilities the transit agency has in place for prevention, detection and response capabilities relative to IEDs and CBRN devices generally:
	  o Specific attention should be paid to any enhancements in these capabilities achieved as a result of FY05/06/07/08 TSGP funding;
	• Discuss the efforts/capabilities the transit agency has in place for visible and unpredictable deterrence:
	  o Specific attention should be paid to any enhancements in these efforts achieved as a result of FY05/06/07/08 TSGP funding;
	• Discuss the efforts/capabilities the transit agency has in place for additional high consequence risk mitigation efforts, visible and unpredictable deterrent efforts, training programs for employees, emergency drills and citizen awareness activities:
	  o Specific attention should be paid to any enhancements in these capabilities achieved as a result of FY05/06/07/08 TSGP funding;
	  o Please provide the following information:
	    ▪ What percentages of employees have been trained in the last three years in DHS-approved courses? Please list the specific course names with the percentages. At a minimum, provide information about basic training courses, as listed in the training cost matrix.
	    ▪ How many VIPR teams do you currently operate? What is the composition of your VIPR teams?
	    ▪ How many K-9 teams do you currently operate?
	    ▪ How many explosive detection teams do you currently operate?
	• Discuss what the transit agency needs in the future relative to protection of any underwater tunnel infrastructure from attacks involving IEDs;
	• Discuss what the transit agency needs in the future for prevention, detection and response capabilities relative to IEDs and CBRN

	• devices (including sensors, canine units, etc.); • Discuss what the transit agency needs in the future for visible/unpredictable deterrence efforts; and, • Discuss what the transit agency needs for high consequence risk mitigation needs, anti-terrorism training programs for employees, emergency drills and citizen awareness activities.
Response	

II. Strategic and Program Priorities

II.A. Provide an abstract for this investment.	
Response Type	Narrative
Response Instructions	• Describe what the project is, how it will be executed, and its purpose as it relates to the needs outlined in section I.C. • State which project effectiveness grouping the project falls under • Define the vision, goals, and objectives for the risk reduction, and summarizes how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols); • Describe the specific needs and/or resource limitations that need to be addressed; • Identify any potential partners and their roles and staffing requirements, and provide information on any existing agreements such as Memoranda of Understanding (MOU); • Identify specific equipment needs (e.g., number of facility cameras, number of security lights, amount of security fencing, etc.) and other details for training, awareness, exercises, and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed materials, number of agencies and staff members involved in exercise planning, execution, and review); • Describe progress made on the security project this investment will be completing, if applicable; and, • Reference use of prior year grant funds, if applicable *Note: Ensure that details on purchases within this section match what is outlined in the detailed budget.*
Response	

II.B. Describe how this investment specifically addresses one or more of the project effectiveness groups identified in the current year's Grant Guidance, and how it addresses the agency's security plan and Regional Transit Security Strategy.	
Response Type	Narrative

Response Instructions	Describe how the investment addresses one or more of the following:
	   • Training, operational deterrence, drills, public awareness activities
	   • Multi-user high-density key infrastructure protection
	   • Single-user high-density key infrastructure protection
	   • Key operating asset protection
	   • Other Mitigation Activities
	
	Outline how the investment specifically addresses the transit agency's security plan and regional strategies.

Response	

III. Impact

III.A. Discuss how the implementation of this investment will decrease or mitigate risk. Describe how the project offers the highest risk reduction potential at the least cost. Include output and outcome metrics	
Response Type	Narrative
Response Instructions	• Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) in a cost effective manner by addressing the needs and priorities identified in earlier analysis and review; • Identify the nature of the risk and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event); and, • Outline the expected, high-level impacts this investment is expected to attain or achieve if implemented, and potential negative impacts if the investment is not implemented.
Response	

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Numeric and Narrative
Response Instructions	• Complete the chart below to identify the amount of funding being requested for this investment only; • Funds should be requested by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration.); • Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and, • Applicants must indicate whether additional funding (non-FY 2009 TSGP) will be leveraged for this investment. *Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment. See the next section of this document for a sample format.*
Response	

The following template illustrates how applicants should indicate the amount of FY 2009 TSGP funding required for the investment, how these funds will be allocated across the cost elements, and what non-FY 2009 TSGP funds will be utilized where appropriate:

	Federal Grant Request Total	Other Funding Sources Applied	Grand Total
Planning			
Operational Packages			
Equipment			
Training			
Exercises			
M&A			
Total			

IV.B. Discuss funding resources beyond this grant request that have been identified and will be leveraged to support the implementation and sustainment of this investment. Discuss your long-term sustainability plans for the investment after these grant funds have been expended, if applicable.	
Response Type	Narrative
Response Instructions	• Give the expected total life-span for this investment if fully implemented and sustained through completion; • Discuss other funding sources (e.g., non-TSGP grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment; • If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY 2009 TSGP funding is sufficient for the implementation and sustainment of this investment; and, • Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance. Investments will also be evaluated on if the transit agency provides a match.
Response	

IV.C. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.	
Response Type	Narrative
Response Instructions	• Only include major milestones that are critical to the success of the investment; • While up to 10 milestones may be provided, applicants should only list as many milestones as necessary; • Milestones are for this discrete investment – those that are covered by the requested FY 2009 TSGP funds and will be completed over the 36-month grant period; • Milestones should be kept to high-level, major tasks that will need to occur; • Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; • Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and, • List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).
Response	

Note: After completing each the template for each investment, applicants should review the information provided to ensure accuracy, particularly the Milestone Dates and the Investment Funding Plan.

Responsible Transit Security Provider
Investment Justification Approval Form

Name of Investment Justification	
Name	
Title	
Signature of Responsible Transit Agency Security Provider	
Name	
Title	
Signature of Transit Agency	
Name of Investment Justification	
Name	
Title	
Signature of Responsible Transit Agency Security Provider	
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Signature of Transit Agency	
Name of Investment Justification	
Name	
Title	
Signature of Responsible Transit Agency Security Provider	
Name	
Title	
Signature of Transit Agency	

Sample Budget Detail Worksheet

Purpose. The Budget Detail Worksheet is provided as a guide to assist applicants in the preparation of the budget and budget narrative, when required. You may submit the budget information 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.

Name/Position	**Computation**	**Cost**

Note: Personnel costs are only allowable for direct management and administration of the grant award, i.e., preparation of mandatory post-award reports.

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.

Name/Position	**Computation**	**Cost**

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.

Purpose of Travel	**Location**	**Item**	**Computation**	**Cost**

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.

Item	**Computation**	**Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

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. These costs are applicable to the overall M&A cap of three percent (3%).

Supply Items	**Computation**	**Cost**

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.

Name of Consultant	**Service Provided**	**Computation**	**Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

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.)

Item	**Location**	**Computation**	**Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

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.

Item	**Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

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.

Description   **Computation**   **Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Important Note: If applicable to the project, construction costs should be included in this section of the Budget Detail Worksheet.

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.

Description   **Computation**   **Cost**

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.

Budget Category	Federal Amount	Non-Federal Amount
A. **Personnel**	_____	_____
B. **Fringe Benefits**	_____	_____
C. **Travel**	_____	_____
D. **Equipment**	_____	_____
E. **Supplies**	_____	_____
F. **Consultants/Contracts**	_____	_____
G. **Other**	_____	_____
Total Direct Costs	_____	_____
H. **Indirect Costs**	_____	_____
I. Total Grantee Contribution		
***TOTAL PROJECT COSTS**	_____	_____
Federal Request	_____	

C. Submission Dates and Times

Completed applications must be submitted electronically through *www.grants.gov* **no later than 11:59 PM EST, January 13, 2009**. Late applications will neither be considered nor reviewed. Upon successful submission, a confirmation e-mail message will be sent with a *grants.gov* tracking number, which is needed to track the status of the application.

D. Intergovernmental Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at *http://www.archives.gov/federal-register/codification/executive-order/12372.html*. The *names and addresses of the SPOCs are listed on OMB's home*

page available at:
http://www.whitehouse.gov/omb/grants/spoc.html.

Tier I
Tier I agencies must submit the following through grants.gov by January 13, 2009:
- SF-424 (Application for Federal Assistance) for their allocation amount
- Investment Justification concepts
- Detailed budgets

DHS will work with the regions to improve formal projects and investment justifications that address the region's security needs, and are in alignment with Departmental priorities in accordance with the cooperative agreement approach. Tier I systems will be required to submit the final investment justifications developed with DHS via the Secure Portal by **February 13, 2009**. Extensions will not be granted.

Tier II
For Tier II systems, the eligible transit system must submit by January 13, 2009 an SF-424 application (including all required assurances and certifications described in Part III following) together with an investment justification and detailed budget for each project for which funding is being requested.

E. Funding Restrictions

Specific investments made in support of the funding priorities discussed in this guidance generally fall into one of six allowable cost categories:

1. Planning
2. Operational Activities
3. Equipment Acquisitions
4. Training
5. Exercises
6. Management and Administration

The 9/11 Act limits how funds can be used for certain operating projects, especially those projects which include operational costs associated with security and counter-terrorism duties. Not more than 30 percent of the funds available for this grant program may be used for "operating uses" as outlined in section 1406(b)(2) of the 9/11 Act which includes security training, exercises, public awareness campaigns, canine patrols, development of security plans, overtime reimbursement, and operational costs associated with security or counter-terrorism duties. Further, within the "operational costs" sub-category of "operating uses," which includes reimbursement of State, local, and tribal governments for costs for personnel assigned to full-time or part-time security or counterterrorism duties related to public transportation, there is a limitation that grant funding used for this expense cannot total more than 10 percent of the total grant funds received by a public transportation agency in any one year[5]. Projects funded under a FY 2009 TSGP award must be consistent with the limitations imposed by the 9/11 Act.

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[5] 9/11 Act (Public Law 110-53), Section 1406(b)(2)(G)

The following provides guidance on allowable costs within each of these areas:

1. **Planning Costs.** FY 2009 TSGP funds may be used for the following types of planning activities:

- Public education and outreach (such as reproduction of Transit Watch materials). Where possible, such activities should be coordinated with local Citizen Corps Council(s).

- Public alert and warning systems and security education efforts.

- Development and implementation of homeland security support programs and adoption of ongoing DHS national initiatives (including, for example, building or enhancing preventive radiological and nuclear detection programs).

- Development and enhancement of security plans and protocols.

- Development or further strengthening of security assessments, including multi-agency and multi-jurisdictional partnerships and conferences to facilitate planning activities.

- Hiring of full or part-time staff and contractors or consultants to assist with planning activities (not for the purpose of hiring public safety personnel).

- Materials required to conduct planning activities.

- Travel and per diem related to professional planning activities.

- Other project planning activities with prior approval from DHS.

2. **Operational Activities.** Three Operational Packages (OPacks) have been developed to support operational activities. These OPacks are available for funding to an eligible Tier I transit system that has a dedicated transit security/police force, a transit security operations dispatch center, and a daily unlinked ridership of 200,000 or greater. Certain law enforcement agencies are also eligible as sub-recipients of Tier I transit systems. Tier I transit systems that meet the eligibility requirements can apply for funding to support one or more of the three available OPacks. DHS considers OPacks to be effective tactics for supporting the FY 2009 funding priorities for the TSGP.

DHS encourages transit systems and subgrantees to develop innovative layered approaches to enhance both the human and facility security on transit systems. Helping mass transit systems increase randomness, unpredictability, and ultimate effectiveness of monitoring and patrol in their security and terrorism prevention programs is critical to National transit security. Implementation of one of the three OPack modules supports these efforts. It is expected that OPack modules will be applied to address the Transit Security priorities. The following OPacks complement existing security systems and provide appropriate, practical, and cost-effective means of protecting assets.

Security Capital Plan and Operational Sustainment

Any Tier I transit system that requests funding for OPacks must also submit a 5-year Security Capital and Operational Sustainment Plan. This plan must include how the agency proposes to implement capital projects that will decrease the need for operational activities, and/or demonstrate how the agency will sustain the operational investments after grant funding has been expended. **Requests for OPacks will not be funded if the agency does not have a Security Capital and Operational Sustainment Plan.**

- **Explosives Detection Canine Teams**

When combined with the existing capability of a transit security/police force, the added value provided through the addition of a canine team is significant. Explosives Detection Canine Teams are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. Canine teams also provide the added psychological deterrent achieved solely through their presence. Such operational efficiency can not be obtained through borrowed use of local police force-operated canine teams, as the needs of the local jurisdiction will always be their first priority. Therefore, the TSGP will provide funds to establish dedicated transit security/police force canine teams. Each canine team will be composed of one dog and one handler. Funds for these canine teams may **not** be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.

- **Visible Intermodal Protection and Response (VIPR) Teams**

The VIPR capability provided through the OPack program will offer TSGP funding for dedicated transit VIPR capability on a regular basis, rather than using VIPR teams for the surge capacity provided by DHS in the past. The VIPR initiative aligns with DHS' risk-based strategy in confronting terrorist threats to potentially vulnerable public transit systems. VIPR teams do not supersede other local transit security forces; rather, they augment current capabilities with the unique strengths and expertise leveraged through the specialized skill sets possessed by each individual within the VIPR team. Each VIPR team may consist of four individuals, including two overt elements (e.g., uniformed transit sector law enforcement officer, canine team, mobile explosive screeners), and two discreet observer elements. Funds for these canine teams may **not** be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.

- **Mobile Explosive Screening Team**

The Mobile Explosive Screening Team OPack will allow transit systems the flexibility to deploy combinations of trained individuals and technologies that will assist in making screening decisions where there are large numbers of individuals with hand carried items. This screening technology will be coupled with mobile explosive screening technologies to resolve the problem of screening a large number of items and individuals.

Funding Availability for OPacks

OPacks will be funded for a 30 month period. The monetary figures presented below are stated in terms of cost per period of performance (which indicates actual/complete funding for the 30 month period). Additionally, any OPack costs after the 30 month period of performance (including expenses related to the maintenance, personnel, equipment, etc.) are the responsibility of the applicable transit system or law enforcement sub-recipient. If these positions are not sustained the state or local agency will not be eligible for this personnel support in the future.

Table 4: Available Funding for OPacks

	Operational Package	Funding per Year (12 months)	Funding per Period of Performance (30 months)
1.	Explosives Detection Canine Teams	$150,000 per team	$375,000 per team
2.	Visible Intermodal Protection and Response (VIPR) Teams	$500,000 per team	$1,250,000 per team
3.	Mobile Explosive Screening Team	$600,000 per team	$1,500,000 per team

OPack Requirements

TSGP OPack funds may only be used for new positions and cannot be used to pay for existing capabilities/programs (e.g., canine teams) already supported by the transit system. Non-supplanting restrictions apply.

Table 5: OPack Requirements

OPacks	Requirements
Explosives Detection Canine Team	• Please refer to 34 for detailed information regarding Explosives Detection Canine Teams under the TSGP.
VIPR Team	• Specific for the Canine Team within the VIPR Team: • Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization • Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification • The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program, the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement. • The individuals hired for the covert and overt elements must be properly trained law enforcement officers • Certifications should be on file with the grantee and must be made available to DHS upon request.
Mobile Explosives Screening Team	• Certifications should be on file with the grantee and must be made available to DHS upon request.

Allowable Expenses for OPacks

Table 6 identifies allowable expenses for the various OPacks. Please see the inserted footnotes for clarification of certain allowable costs.

Table 6: Allowable Expenses for OPacks

OPacks	Salary and Fringe Benefits	Training and Certification6	Equipment Costs	Purchase and Train a Canine	Canine Costs7
1. Explosives Detection Canine Team	✔	✔	✔	✔ [8]	✔
2. VIPR	✔	✔	✔	✔	✔
3. Mobile Explosives Screening Team	✔		✔ [9]		

Specific Guidance for Explosives Detection Canine Teams (EDCT)

When combined with the existing capability of a transit security/police force, the added value provided through the addition of a canine team is significant. Explosives Detection Canine Teams (EDCT) are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. Canine teams also provide the added psychological deterrent achieved solely through their presence. Such operational efficiency can not be obtained through borrowed use of local police force-operated canine teams, as the needs of the local jurisdiction will always be their first priority. Therefore, the TSGP will provide funds to establish dedicated transit security/police EDCTs. Funds for these canine teams may **not** be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.

Each EDCT, composed of one dog and one handler, must be certified by an appropriate, qualified organization. TSA Certified Explosives Detection Canine Teams will meet or exceed certification standards set for by the TSA National Explosives Detection Canine Team Program (NEDCTP). Grantee EDCTs that do not participate in the NEDCTP will be required to certify annually under their respective agency, local and state regulations. The grantee will maintain certification, utilization and training data to

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[6] Travel costs associated with training for personnel, handlers, and canines are allowable.
[7] Canine costs include but are not limited to: veterinary, housing, and feeding costs.
[8] Training specific to the detection of common explosives odors is allowable.
[9] Equipment and other costs can include but are not limited to: explosives detection; stainless steel search tables; consumables such as gloves, swabs, and alcohol; and land mobile radios.

show compliance in meeting or exceeding those guidelines set forth by the Scientific Working Group on Dog and Orthogonal Detection Guidelines (SWGDOG), formulated as of September 14, 2007, in addition to requirements set forth in the grant guidance.

The grantee will ensure that certified EDCTs are available to respond to the mass transit system 24 hours a day, 7 days per week on an on-duty or off-duty on call basis. If TSGP funded EDCTs are not available, other EDCTs (non-TSGP funded) may be utilized for this response. The intent is to provide maximum coverage during peak mass transit system operating hours, and to maintain the ability to promptly respond to threats that affect public safety or mass transit operations.

The grantee will ensure that a written plan, or standard operating policy and procedure (SOPP), exists that describes EDCT deployment policy to include visible and unpredictable deterrent efforts and on-call EDCTs rapid response times as dictated by the agency's SOPP. The plan must be made available to TSA upon request.

EDCTs under this grant are single purpose and will be trained to detect "live" not "simulated" explosives only. EDCTs must not have received previous training to detect any other substances.

The grantee will ensure that each EDCT receives on-site proficiency training at a minimum of four (4) hours per week/duty cycle. This training shall include, but not limited to: mass transit passenger cars, terminal/platform, luggage, freight/warehouse, and vehicles. Complete, detailed and accurate training records must be maintained for all proficiency training conducted by each EDCT. These records must be made available to TSA upon request.

The grantee will conduct appropriate training or other canine activities, within view of the public, to increase public awareness of EDCTs and provide a noticeable deterrent to acts, which affect public safety or mass transit operations. The grantee will also ensure that such activities include, over a period of time, a presence in operational areas of the mass transit system during peak and off-peak hours. The grantee agrees that EDCTs will be utilized at least 80% of their duty time, annually, in the mass transit system.

The grantee will comply with requirements for the proper storage, handling and transportation of all explosive training aids in accordance with BATF Federal Explosive Law and Regulations as outlined in publication ATF P 5400.7 (09/00).

The grantee will ensure that a written security procedure plan exists for the safekeeping of all explosive training aids, to include safe transportation. The grantee will document the removal, use and return of explosive training aids used during training exercises or for any other reason. The plan and all documentation must be made available to the TSA upon request.

The grantee will provide safe and sanitary kennel facilities for program canines. This applies to kenneling canine at the mass transit system, handlers' residences or commercial boarding facilities. Canines must not be left in makeshift accommodations or without proper supervision, protection and care. The grantee will ensure that canines are transported on-duty and off-duty in vehicles configured with adequate temperature control, padding and screening to ensure proper health, safety and security.

The grantee will ensure that adequate routine and emergency veterinary care for all canines is provided.

TSA reserves the right to conduct an on-site operational and record review upon forty-eight hour notice to ensure compliance with the grant guidelines

3. Equipment Acquisition Costs. FY 2009 TSGP funds may be used for the following categories of equipment. 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 https://www.rkb.us/lists.cfm. These costs include:

- Explosive device mitigation and remediation equipment

- Terrorism incident prevention equipment

- Physical security enhancement equipment

- Cyber security enhancement equipment

- Detection equipment

Unless otherwise noted, equipment must be certified that it meets required regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. Equipment must comply with the OSHA requirement for certification of electrical equipment by a nationally recognized testing laboratory, and demonstrate compliance with relevant DHS-adopted standards through a supplier's declaration of conformity with appropriate supporting data and documentation per ISO/IEC 17050, parts 1 and 2. In addition, agencies must have all necessary certifications and licenses for the requested equipment, as appropriate prior to the request.

A list of applicable standards is found at the following website: http://rkb.mipt.org. DHS adopted standards are found at http://www.dhs.gov/xfrstresp/standards.

4. Training Costs. FY 2009 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.

- **Certain full or part-time staff and contractors or consultants.** Full or part-time staff may be hired to support training-related activities. The services of contractors or 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 must be followed.

- **Public Sector Overtime and backfill costs.** Payment of overtime expenses will be for work performed by award or sub-award employees of public agencies in excess of the established work week (usually 40 hours). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that it is DHS approved training. 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.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel) 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 DHS-approved courses or DHS-sponsored technical assistance programs.

- **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 may include the rental of space/locations for planning and conducting training, badges, and similar materials.

5. Exercise Costs. FY 2009 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.

- **Certain full or part-time staff and contractors or 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 or 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 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 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 a DHS 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.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel) 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).

- **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 may include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.

6. Management and Administration (M&A) costs. FY 2009 TSGP funds may be used for the following M&A costs:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of the FY 2009 TSGP or the design, requirements, and implementation of the TSGP.

- Hiring of full-time or part-time staff, contractors or consultants and M&A expenses related to pre-application submission management activities and application requirements or meeting compliance with reporting/data collection requirements, including data calls.

- Development of operating plans for information collection and processing necessary to respond to DHS data calls.

- Travel expenses.

- Meeting-related expenses

- Acquisition of authorized office equipment, including personal computers or laptops

Construction Projects Guidance. FY 2009 TSGP recipients using funds for construction projects must comply with the Davis-Bacon Act. Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website: *http://www.dol.gov/esa/programs/dbra/*. See also, Part VI.4.7, Environmental and Historic Preservation Compliance.

Specific unallowable costs include:

- 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;

- Personnel costs (except as detailed above);

- 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.

APPLICATION REVIEW INFORMATION

A. Review Criteria

All Applicants must comply with all administrative requirements -- including Investment Justifications, budgets and application process requirements -- described in this guidance.

The criteria used by the national review panel to evaluate Risk Mitigation and Regional Collaboration for Tier II are defined below. Each project submitted for funding will be evaluated by a National Review Panel based on:

Cost effectiveness with regard to the impact on security relative to the investment. The investment justification should provide evidence of the security impact, as well as justification for the strategic use of the proposed budget. The project cost levels should be commensurate with the security impact, and the proposed solution should be reasonable and advantageous over other possible solutions. Highly-scored projects will exhibit economical returns in which the benefits, expected impacts on security, will be great relative to the financial investment.

Feasibility with regard to the likelihood of increasing security effectively. The investment justification should show a high likelihood of improved security when implemented as designed. Projects will be scored based on their likelihood of being successful.

Timelines with regard to the ability to complete the proposed project within submitted timeframes specified in the grant guidance. The investment justification should provide a timeline and schedule, and demonstrate evidence of ability to complete it within submitted timeline based on proposed strategy, potential implementation challenges, resource plan, and reasonableness of anticipated schedule.

Sustainability without additional Federal funds and leveraging of other funding, including exhibiting a likelihood of success, or continued success, without requiring additional Federal assistance. The investment justification should show potential or confirmed additional funding if/as appropriate. It should also show a high likelihood of success or continued success without additional Federal assistance, as well as offer a long-term sustainability plan. Projects will receive additional preference based on the commitment of an applicant to provide a cash match or operational equivalent, regardless of amount and source.

A project's Risk Mitigation score will be based on all four factors above.

Regional Collaboration *in regard to the ability to leverage the impact of the investment by including other regional partners over and above expected/necessary collaboration*. The investment justification should provide details as to the extent to which regional security partners (other transit agencies, local law enforcement, emergency responders, etc.) are included and coordinated with for the successful implementation of a project, as appropriate.

B. Review and Selection Process

Scoring Methodology

In the effort to promote transparency and focus on effective risk-mitigating projects, a scoring methodology has been adopted that promotes the consistent and accurate evaluation of projects.

The scoring methodology consists of five parts:
1. The agency's risk group score (Sensitive Security Information will be provided separately),
2. The project effectiveness group score (see Table 1),
3. The potential risk mitigation of the project (as determined by the information provided in the Investment Justification and described in Section A above),
4. A regional collaboration component (where appropriate), and
5. Presence of a match (where appropriate).

Final project scores will be calculated as follows:

(Risk Group Score X Project Effectiveness Group Score) + Risk Mitigation Score + Regional Collaboration Component + Match Component.

Selection Process
The following process will be used to make awards for the program:

- DHS will verify compliance with each of the administrative and eligibility criteria identified in the application kit.

- DHS will work with RTSWGs to develop Investment Justifications based on the agencies' risk groupings, project effectiveness group, and regional collaboration.

- For Tier II applications, the Department will calculate a total score to aid with funding selections. The total score will consist of four individual parts: an agency-based risk score, a score associated with an application's alignment to the project effectiveness groups, a score based on project risk mitigation, and the degree of regional collaboration.

- Eligible applications will be reviewed by a panel to determine the risk mitigation and regional collaboration scores. This panel will consist of Federal officials from multiple government agencies that will review each application and score it based on the following criteria: cost effectiveness, feasibility, timelines, and sustainability without additional Federal funds.

- TSA will make recommendations for funding to the Secretary of Homeland Security based on the funding priorities and scoring methodology.

C. Anticipated Announcement and Award Dates

FEMA will evaluate and act on applications within 60 days following close of the application period, consistent with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009 (Public Law 110-329)*. Awards will be made on or before September 30, 2009.

PART VI.
AWARD ADMINISTRATION INFORMATION

A. Notice of Award

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the "award date." Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. Follow the directions in the notification and log into GMS to access the award documents. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification, please contact your Program Analyst for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option 3, to obtain the username and password associated with the new award.

The period of performance is 36 months. Any unobligated funds will be deobligated at the end of the 90 day close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

B. Administrative and National Policy Requirements

1. **Standard Financial Requirements.** The grantee and any subgrantee shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:

   1.1 -- Administrative Requirements.

   - 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

   - 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110)

   1.2 -- Cost Principles.

   - 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)

   - 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21)

   - 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122)

   - Federal Acquisition Regulations (FAR), Part 31.2 Contract Cost Principles and Procedures, Contracts with Commercial Organizations

1.3 -- Audit Requirements.

- OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations

1.4-- Duplication of Benefits. There may not be a duplication of any federal assistance, per A-87, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Circular may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements.

2. **Non-supplanting Requirement.** Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. 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.

3. **Technology Requirements.**
   3.1 -- National Information Exchange Model (NIEM). FEMA requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) for all grant awards. Further information about the required use of NIEM specifications and guidelines is available at *http://www.niem.gov*.

   3.2 -- Geospatial Guidance. Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). FEMA encourages grantees to align any geospatial activities with the guidance available on the FEMA website at *http://www.fema.gov/grants*.

   3.3 -- 28 CFR Part 23 guidance. FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, Criminal Intelligence Systems Operating Policies, if this regulation is determined to be applicable.

4. **Administrative Requirements.**
   4.1 -- Freedom of Information Act (FOIA). FEMA 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. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 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 FEMA FOIA Office, and may likely fall within one or more of the available exemptions under the Act. The applicant is encouraged to consult its 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. The applicant may also consult FEMA regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.

4.2 -- Protected Critical Infrastructure Information (PCII). The PCII Program, established pursuant to the Critical Infrastructure Information Act of 2002 (Public Law 107-296) (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector to voluntarily submit sensitive information regarding critical infrastructure to DHS. The Act also provides statutory protection for voluntarily shared CII from public disclosure and civil litigation. If validated as PCII, these documents can only be shared with authorized users who agree to safeguard the information.

PCII accreditation is a formal recognition that the covered government entity has the capacity and capability to receive and store PCII. DHS encourages all entities to pursue PCII accreditation to cover their State government and attending local government agencies. Accreditation activities include signing a memorandum of agreement (MOA) with DHS, appointing a PCII Officer, and implementing a self-inspection program. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at pcii-info@dhs.gov.

4.3 -- Compliance with Federal civil rights laws and regulations. The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- *Title VI of the Civil Rights Act of 1964, as amended, 42. U.S.C. 2000 et. seq.* – no person on the grounds of race, color, or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance.

- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance.

- *Title IX of the Education Amendments of 197*2, *as amended, 20 U.S.C. 1681 et. seq.* – discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance.

- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – no person in the United States shall be, on the basis of age, excluded

from participation in, denied the benefits of or subjected to discrimination under any program or activity receiving Federal financial assistance.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required, to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

4.4 -- Services to limited English proficient (LEP) persons. Recipients of FEMA 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, natural 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. The grantee is 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, see *http://www.lep.gov*.

4.5 -- Integrating individuals with disabilities into emergency planning. Section 504 of the Rehabilitation Act of 1973, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial from FEMA. In addition, Executive Order 13347, *Individuals with Disabilities in Emergency Preparedness* signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Executive Order 13347 requires the Federal government to encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

FEMA has several resources available to assist emergency managers in planning and response efforts related to people with disabilities and to ensure compliance with Federal civil rights laws:

- **Comprehensive Preparedness Guide 301 (CPG-301): Interim Emergency Management Planning Guide for Special Needs Populations:** CPG-301 is designed to aid tribal, State, territorial, and local governments in planning for individuals with special needs. CPG-301 outlines special needs considerations for: Developing Informed Plans; Assessments and Registries; Emergency Public Information/Communication; Sheltering and Mass Care; Evacuation; Transportation; Human Services/Medical Management; Congregate Settings; Recovery; and Training and Exercises. CPG-301 is available at *http://www.fema.gov/pdf/media/2008/301.pdf*.

- **Guidelines for Accommodating Individuals with Disabilities in Disaster:** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at *http://www.fema.gov/oer/reference/*.

- **Disability and Emergency Preparedness Resource Center:** A web-based "Resource Center" that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The "Resource Center" is available at *http://www.disabilitypreparedness.gov*.

- *Lessons Learned Information Sharing (LLIS)* **resource page on Emergency Planning for Persons with Disabilities and Special Needs:** A true one-stop resource shop for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

  LLIS.gov is available to emergency response providers and homeland security officials from the Federal, State, and local levels. To access the resource page, log onto *http://www.LLIS.gov* and click on *Emergency Planning for Persons with Disabilities and Special Needs* under *Featured Topics.* If you meet the eligibility requirements for accessing Lessons Learned Information Sharing, you can request membership by registering online.

4.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts. In accordance with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329), grant funds must comply with the following two requirements:

- None of the funds made available shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et. Seq.), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby)**.**

- None of the funds made available shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

4.7 -- Environmental and Historic Preservation Compliance. FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA funding. FEMA, through its Environmental and

Historic Preservation (EHP) Program, engages in a review process to ensure that FEMA-funded activities comply with various Federal laws including: National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, and Executive Orders on Floodplains (11988), Wetlands (11990) and Environmental Justice (12898). The goal of these compliance requirements is to protect our nation's water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to children and low-income and minority populations.

The grantee shall provide any information requested by FEMA to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact EHP resources cannot be initiated until FEMA has completed its review. Grantees may be required to provide detailed information about the project, including the following: location (street address or map coordinates); description of the project including any associated ground disturbance work, extent of modification of existing structures, construction equipment to be used, staging areas, access roads, etc.; year the existing facility was built; natural, biological, and/or cultural resources present in the project vicinity; visual documentation such as site and facility photographs, project plans, maps, etc; and possible project alternatives.

For certain types of projects, FEMA must consult with other Federal and State agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for protecting natural and cultural resources. For projects with the potential to have significant adverse effects on the environment and/or historic properties, FEMA's EHP review and consultation may result in a substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects.

Because of the potential for significant adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the EHP review that are necessary to address potential adverse impacts. Grantees may use these funds toward the costs of preparing such documents and/or implementing treatment or mitigation measures. Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

Recipient shall not undertake any project having the potential to impact EHP resources without the prior approval of FEMA, including but not limited to communications towers, physical security enhancements, new construction, and **modifications to buildings, structures and objects** that are 50 years old or greater. Recipient must comply with all conditions placed on the project as the

result of the EHP review. Any change to the approved project scope of work will require re-evaluation for compliance with these EHP requirements. If ground disturbing activities occur during project implementation, the recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the recipient will immediately cease construction in that area and notify FEMA and the appropriate State Historic Preservation Office. **Any construction activities that have been initiated without the necessary EHP review and approval will result in a non-compliance finding and will not eligible for FEMA funding.**

For more information on FEMA's EHP requirements, grantees should refer to FEMA's Information Bulletin #271, *Environmental Planning and Historic Preservation Requirements for Grants,* available at *http://ojp.usdoj.gov/odp/docs/info271.pdf*. Additional information and resources can also be found at *http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm*.

4.8 -- Royalty-free License. Applicants are advised that FEMA reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: (a) the copyright in any work developed under an award or sub-award; and (b) any rights of copyright to which an award recipient or sub-recipient purchases ownership with Federal support. Award recipients must agree to consult with FEMA regarding the allocation of any patent rights that arise from, or are purchased with, this funding.

4.9 -- FEMA GPD Publications Statement. Applicants are advised that all publications created with funding under any grant award shall prominently contain the following statement: "This document was prepared under a grant from FEMA's Grant Programs Directorate, U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA's Grant Programs Directorate or the U.S. Department of Homeland Security."

4.10 -- Equipment Marking. Applicants are advised that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the U.S. Department of Homeland Security."

4.11 -- Disadvantaged Business Requirement. Applicants are advised that, to the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent practicable.

4.12 -- National Preparedness Reporting Compliance. *The Government Performance and Results Act* (Public Law 103-62) (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement.

FEMA anticipates using this information to inform future-year grant program funding decisions. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by the Department of Homeland Security, Office of the Inspector General, or the Government Accountability Office.

C. Reporting Requirements

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements. Please note that FEMA Payment and Reporting System (PARS) contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

1. **Financial Status Report (FSR) -- required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FSR is due 90 days after the end date of the performance period.

   FSRs **must be filed online** through the PARS*.*

   Reporting periods and due dates:
   - October 1 – December 31; *Due January 30*
   - January 1 – March 31; *Due April 30*
   - April 1 – June 30; *Due July 30*
   - July 1 – September 30; *Due October 30*

2. **Categorical Assistance Progress Report (CAPR).** Following an award, the awardees will be responsible for submitting CAPRs on a semi-annual basis; CAPRs should address performance measures and activities as described in the Investment Justification(s). The applicable entities are responsible for completing and submitting the CAPR reports.

   The CAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 though December 31). Future awards and fund drawdowns may be withheld if these reports are delinquent.

   CAPRs must be filed online at *https://grants.ojp.usdoj.gov*. Guidance and instructions can be found at *https://grants.ojp.usdoj.gov/gmsHelp/index.html*.

   Required submission: CAPR (due semi-annually).

3. **Exercise Evaluation and Improvement.** Exercises, implemented with grant funds, should be threat and performance-based and should evaluate performance of the targeted capabilities required to respond to the exercise scenario. Guidance related to the conduct exercise evaluations and the implementation of improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Manual* located at *http://www.fema.gov/government/grant/administration.shtm*. Grant recipients must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with FEMA support (grant funds or direct support) and submitted to the FEMA secure Portal (*https://preparednessportal.dhs.gov/*) within 60 days following completion of the exercise.

   The AAR documents the demonstrated performance of targeted capabilities and identifies recommendations for improvements. The IP outlines an exercising jurisdiction(s) plan to address the recommendations contained in the AAR. At a minimum, the IP must identify initial action items and be included in the final AAR. Guidance for the development of AARs and IPs is provided in the HSEEP manual.

   Required submissions: 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, *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/a133/a133.html*. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine 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 2009 Transit Security Grant Program assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

   The grantee shall require that sub-grantees 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.

Monitoring

Grant recipients will be monitored periodically by DHS staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Programmatic monitoring may also include the Regional Federal Preparedness Coordinators, when appropriate, to ensure consistency of project investments with Regional and National goals and policies, as well as to help synchronize similar investments ongoing at the Federal, State, and local levels.

Monitoring will be accomplished through a combination of office-based reviews and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed.

The recipient is responsible for monitoring award activities, to include sub-awards, to provide reasonable assurance that the Federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining of adequate financial records, and refunding expenditures disallowed by audits.

Grant Close-Out Process

Within 90 days after the end of the period of performance, grantees must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the project as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. The grantee is responsible for returning any funds that have been drawndown but remain as unliquidated on grantee financial records.

Required submissions: (1) final SF-269a, due 90 days from end of grant period; and (2) final CAPR, due 90 days from the end of the grant period.

PART VII.
FEMA CONTACTS

This section describes several resources that may help applicants in completing a FEMA grant application. During the application period DHS will identify multiple opportunities for a cooperative dialogue between the Department and applicants. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY 2009 TSGP and to help in submission of projects that will have the highest impact on reducing risks.

1. **Centralized Scheduling & Information Desk (CSID) Help Line**. CSID is a non-emergency resource for use by emergency responders across the nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS through FEMA for homeland security terrorism preparedness activities. CSID provides general information on all FEMA grant programs and information on the characteristics of CBRNE, agro-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources.

   CSID maintains a comprehensive database containing key personnel contact information for homeland security terrorism preparedness programs and events. These contacts include personnel at the Federal, State and local levels. CSID can be contacted at (800) 368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 am–6:00 pm (EST), Monday-Friday.

2. **Grant Programs Directorate (GPD).** FEMA GPD will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.

3. **GSA's State and Local Purchasing Programs**. The U.S. General Services Administration (GSA) offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.

   - Cooperative Purchasing Program
     Cooperative Purchasing, authorized by statute, allows State and local governments to purchase a variety of supplies (products) and services under specific GSA Schedule contracts to save time, money, and meet their everyday needs and missions.

The Cooperative Purchasing program allows State and local governments to purchase alarm and signal systems, facility management systems, firefighting and rescue equipment, law enforcement and security equipment, marine craft and related equipment, special purpose clothing, and related services off of Schedule 84 and Information Technology products and professional services off of Schedule 70 and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing for these categories is authorized under Federal law by the *Local Preparedness Acquisition Act* (Public Law 110-248) and Section 211 of the *E-Government Act of 2002* (Public Law 107-347).

Under this program, State and local governments have access to GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at *http://www.gsa.gov/cooperativepurchasing*.

- Disaster Recovery Purchasing Program
  GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State and Local Governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the *John Warner National Defense Authorization Act for Fiscal Year 2007* (Public Law 109-364) amends 40 U.S.C. §502 to authorize GSA to provide State and Local governments the use of ALL GSA Federal Supply Schedules for purchase of products and services to be used to *facilitate recovery from a major disaster declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act or to facilitate* **recovery** *from terrorism or nuclear, biological, chemical, or radiological attack.*

GSA provides additional information on the Disaster Recovery Purchasing Program website at *http://www.gsa.gov/disasterrecovery*.

State and local governments can find a list of contractors on GSA's website, *http://www.gsaelibrary.gsa.gov*, denoted with a COOP PURCH or DISAST RECOV symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit *http://www.gsa.gov/csd* to find a local customer service director in your area. For assistance at the national level, contact Tricia Reed at *tricia.reed@gsa.gov, (571) 259-9921.* More information is available on all GSA State and local programs at: *www.gsa.gov/stateandlocal*.

4. **Exercise Direct Support.** FEMA provides support to Regions, States, and local jurisdictions in accordance with State Homeland Security Strategies and the Homeland Security Exercise and Evaluation Program (HSEEP). Support is available to conduct a Training and Exercise Plan (TEP) workshop, to develop a Multi-year TEP, and to build or enhance the capacity of a jurisdiction to design, develop, conduct, and evaluate effective exercises

In FY 2009, support for planning and conduct of exercises has shifted in strategy from a State-focused approach, organized by National Preparedness Directorate Headquarters, to a regional (multi-State) approach, organized by the FEMA Regions, to more effectively integrate national, regional, territorial, tribal, State, and local preparedness exercises. At this time, the Regional Exercise Support Program will support discussion-based exercises (i.e., seminar, workshop or tabletop), operations-based exercises (i.e. drills, functional exercises, full scale exercises), and TEP workshops within each of the 10 FEMA Regions. The Regional Exercise Support Program support is not limited to new exercise initiatives and can be applied to ongoing exercises to maintain continuity of existing planning schedules. Applicants are encouraged to coordinate requests for exercise support through the appropriate FEMA Regional Exercise Officer. State requests for support will be considered, however, priority will be given to exercise initiatives that support collaboration within a Region.

Additional guidance on the Regional Exercise Support Program to include the application process and information on the HSEEP is available on the HSEEP website, *https://hseep.dhs.gov*.

5. **Homeland Security Preparedness Technical Assistance Program.** The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

   More information can be found at *http://www.fema.gov/about/divisions/pppa_ta.shtm*.

6. **Lessons Learned Information Sharing (LLIS) System.** LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, AARs from exercises and actual incidents, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

   The LLIS website also includes a national directory of 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. The LLIS website is *https://www.llis.gov*.

7. **Information Sharing Systems**. FEMA encourages all State, regional, local, and Tribal entities using FY 2009 funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland

Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at leoprogramoffice@leo.gov or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.

OTHER INFORMATION

Requirements Specific to For-Profit Entities

For-profit organizations are eligible to apply for funding under the TSGP. The following requirements apply specifically to for-profit entities receiving Federal funding from FEMA.

1. Recipients of TSGP funds must comply with the contract cost principles as defined in the Federal Acquisition Regulations (FAR), Part 31.2 Contract Cost Principles and Procedures, Contracts with Commercial Organizations.

2. For purposes of financial and procedural administration of the TSGP, recipients must comply with 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations (OMB Circular A-110) will apply, excluding Sections 40-48.

3. Recipient of TSGP funds agree that this award may be terminated in accordance with 2 CFR Part 215.61. If the Federal Government determines that a grant will be terminated, it will be carried out in accordance with the process specified in Part 49 of the FAR.

4. Recipients of TSGP funds may not make a profit as a result of this award or charge a management fee for the performance of this award.

5. Recipients of TSGP funds must have a financial audit and compliance audit performed by qualified individuals who are organizationally, personally, and externally independent from those who authorize the expenditure of federal funds. This audit must be performed in accordance with the United States General Accountability Office Government Auditing Standards. The audit threshold contained in OMB Circular A-133 applies. This audit must be performed on a program-wide basis to ascertain the effectiveness of financial management systems and internal procedures that have been established to meet the terms and conditions of the award. The management letter must be submitted with the audit report. Recipient audit reports must be submitted no later than nine (9) months after the close of each fiscal year during the term of the award. The distribution of audit reports shall be based on requirements in the current edition of 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110). Note: If your audit disclosed findings or recommendations, you must include with your audit report a corrective action plan containing the following: (1) The name and number of the contact person responsible for the corrective action plan; (2) specific steps taken to comply with the recommendations; (3) a timetable for performance or implementation dates for each recommendation; and (4) descriptions of monitoring to be conducted to ensure implementation.

Table 7: Training Cost Matrix and Vendor/Course List

			BASIC MASS TRANSIT SECURITY TRAINING PROGRAM									
Training Description	**Focus**	**Standard**	**Categories of Employees to Receive**									
			Front-Line Employees	Station Managers	Administrative and Support Staff	Maintenance Workers	Mid-Level Management	Senior Management	Operations Control Center Staff	Law Enforcement Officers	Security Guards	Law Enforcement
Security Awareness	Enhance capability to identify, report, and react to suspicious activity and security incidents	2 Hours Annually (minimum) Recurring	X	X	X	X	X	X	X	X	X	X
Behavior Recognition	Recognize behaviors associated with terrorists' reconnaissance and planning activities, including the conduct of surveillance. Applies lessons learned from the Israeli security meeting.	2 Hours Annually (minimum) Recurring	X	X		X	X	X	X	X	X	X
Immediate Emergency Response	Prepare passenger rail train operators to deal with explosive detonations, incendiaries, released chemical hazards, and similar threats in the confines of trains and system infrastructure.	4 Hours Annually (minimum) Recurring	X	X					X	X		X
National Incident Management System (NIMS)	Ensure transit agency emergency preparedness and response personnel gain and retain the knowledge and skills necessary to operate under NIMS in accordance with the National Response Plan (NRP).	Train on NIMS once; reinforce in drills and exercises		X				X	X	X		X
Operations Control Center Readiness	Identify security vulnerabilities. Understand and exercise role of OCC personnel in preventing terrorist attacks. Distinguish characteristics of improvised explosive devices (IEDs) and weapons of mass destruction. Specify priorities during a terrorist attack and manage incident response. Apply transit agency's operational plans for response to IED and WMD scenarios, directing and coordinating activities in the system.	Train for OCC readiness once; reinforce in drills and exercises							X			

Table 8: Mass Transit Security Follow-On Courses

Training Description	Focus	MASS TRANSIT SECURITY FOLLOW-ON COURSES								
		Front-Line Employees	StationManagers	Administrative and Support Staff	Maintenance Workers	Mid-Level Management	Senior Management	Operations Control Center Staff	Security Guards	Law Enforcement
Management of Transit Emergencies I (4-day course)	Ensure employees throughout the transit agency understand individual roles in emergency response and the transit system's role in emergencies or disasters in the system and the broader community.	X	x	X	X	X	X	X	X	X
Management of Transit Emergencies II (1-day course)	Ensure employees throughout the transit agency understand individual roles in emergency response and the transit system's role in emergencies or disasters in the system and the broader community.	X	x	X	X	X	X	X	X	X
Coordinated Interagency Emergency Response	Advance interoperability of the transit agency with multiple responding entities in emergency response.	X	x		X				X	X
Managing Counterterrorism Programs	Enable transit agency management officials to develop and manage a counterterrorism program in a transit system.		X			X	X	X		
Prevention and Mitigation - IEDS and WMD: T4 3-day course	Enhance capabilities to identify threats from improvised explosive devices and weapons of mass destruction (chemical, biological, radiological, nuclear) to identify, report, and react to suspicious activity and security incidents	X	X	X	X				X	X
Prevention and Mitigation - IEDS and WMD: CBRNE Incident Management 1-day course	Enhance capabilities to identify threats from improvised explosive devices and weapons of mass destruction (chemical, biological, radiological, nuclear) to identify, report, and react to suspicious activity and security incidents	X	X	X	X				X	X
Transit Vehicle Hijacking Prevention and Response	Enable employees to develop and implement plans and procedures to respond to transit vehicle hijackings and workplace violence	X	X		X			X	X	X
Integrated Anti-Terrorism Security Program	Enhance capabilities of transit agency security officials, law enforcement personnel, and others with interaction with passengers to detect, deter, and prevent acts of terrorism.					X	X		X	X
Transit System Security Design	Expand integration of security considerations into designs of new transit systems and improvements of existing systems.					X	X			

Table 9: Train-The-Trainer Courses

TRAIN-THE-TRAINER COURSES											
Training Description	Focus	Standard	Categories of Employees to Receive								
			Front-Line Employees	Station Managers	Administrative and Support Staff	Maintenance Workers	Mid-Level Management	Senior Management	Operations Control Center Staff	Security Guards	Law Enforcement Officers
Security Awareness	Enhance capability to identify, report, and react to suspicious activity and security incidents		X	X	X	X	X	X	X	X	X
Behavior Recognition	Recognize behaviors associated with terrorists' reconnaissance and planning activities, including the conduct of surveillance. Applies lessons learned from the Israeli security meeting.		X	X		X	X	X	X	X	X

Training courses requested must be DHS-approved courses. For areas where there are no identified courses, transit agencies are encouraged to develop their own training programs, or see which other emergency management courses already offered may be adaptable to cover this subject area.

The vendors providing the training do not necessarily need to be DHS-approved vendors. Please try and schedule your training with one of the approved vendors listed in the above table. If for some reason you are having difficulties scheduling the training with an approved vendor, or no approved vendors have been identified, you may identify other vendors to provide the training, provided such courses generally align with or exceed the curriculum and performance measures set in the equivalent or analogous Federally-sponsored product. Transit systems must receive approval from DHS if they choose to use other vendors for their training courses.

Training must be completed within 24 months.

DHS is providing transit systems with several options. Once a transit system is approved for fast-track training, they may proceed with the best combination of options for the system's needs.

Option A
Transit agencies may use FTA/TSA-funded training courses.

Transit agencies may send their employees to the FTA/TSA-funded training courses listed in the table below. These courses are scheduled throughout the year at various locations around the country. Contact the Federally-sponsored vendor for course availability. Providers are the National Transit Institute (NTI), the Transportation Safety Institute (TSI), and Johns Hopkins University (JHU). Contact information for these providers is provided below:

National Transit Institute (NTI)
120 Albany Street
Tower Two, Suite 250
        New Brunswick, NJ 08901-2163
POC: Coleen Meyer, Senior Program Coordinator, Workplace Safety and Security; 732-932-1700, ext. 231

Transportation Safety Institute (TSI)
Transit Safety & Security Division
RTI-80 P. O. Box 25082
Oklahoma City, OK 73125-9967
POC: Radonna Snider, Program Analyst; 405-954-4799

Johns Hopkins University (JHU)
6740 Alexander Bell Drive # 200
Columbia, MD 21046
POC: Dr. Phyllis McDonald; 410-312-4413

Option B
Transit agencies may use Federally-sponsored providers of training courses.

Transit agencies may use the Federally-sponsored providers of training courses listed in Table 10 below. Information on the courses and providers is available in the FEMA National Preparedness Directorate, Training and Education Division catalog: at *http://www.ojp.usdoj.gov/odp/docs/TED_Course_Catalog2007.pdf*. Courses in this category have identifiers 'AWR', 'PER', 'ICS', and 'IS' in Table 10 below.

Some of these courses are internet or computer-based. Others are mobile and may be in your agency's area. The transit agency should request these courses through its State Administrative Agency or State Training Point of Contact. For assistance, please e-mail *AskCSID@dhs.gov* or call 1-800-368-6498.

Option C

Transit agencies may use other vendors for training courses.

Transit agencies may use other vendors for training courses, provided such courses generally align with or exceed the curriculum and performance measures set in the equivalent or analogous Federally-sponsored product. Transit systems must receive approval from DHS if they choose to use other vendors for their training courses.

Table 11 below contains the course headings as listed in the training cost matrix, approved course titles, and a list of training vendors that are qualified to teach each course. As outlined above, however, transit agencies may use other vendors for training courses and other courses, provided the courses align with or exceed the curriculum for the DHS-approved course and are approved by DHS.

Train-the-Trainer Options: Key Subject Areas

Many of the available course offerings include "train-the-trainer" versions that enable a transit system to gain certification for designated employees who can then conduct that training on a regular basis for the transit system.

DHS has identified additional "train-the-trainer" course opportunities in Security Awareness, Behavior Recognition, and Immediate Emergency Response. These opportunities are listed in Table 11 below. Train-the-trainer courses enable the transit system to gain certification for designated employees who can then conduct the training for your agency. This option affords an opportunity to build an "in house" training infrastructure.   If a transit system received funds for one of those training courses, they may elect to send select employees to those train-the-trainer courses so that those employees could then teach the course to the rest of the frontline employees who were approved to receive the training. All training must still be completed with the awarded funding; no additional funding will be provided under this option.

Table 10: Approved Course and Vendor List

Training Category	Approved Courses	Approved Vendors
Security Awareness	System Security Awareness for Transportation Employees (SSA)	NTI
	AWR-110-W – WMD/Terrorism Awareness for Emergency Responders (Internet-based) (3-4 hours)	TEEX
	AWR-150 – Terrorism Awareness: Protecting the US Public Transportation System (8 hours)	LACMTA
	AWR-160 – WMD Awareness Level Training (6 hours)	NDPC
	AWR-190-W – Foundational Awareness of WMD/Terrorism (Internet-based) (1 ½ hours)	ARC
	AWR-122 – Prevention and Deterrence of Terrorist Acts by Law Enforcement (8 hours)	LSU
	AWR-122-1 – Law Enforcement Prevention and Deterrence of Terrorist Acts (16 hours)	LSU
	AWR-140 – WMD Radiological/Nuclear Awareness Course (6 Hours)	NTS
Behavior Recognition	Terrorist Activity Recognition and Reaction (TARR) (4 hours)	NTI
Immediate Emergency Response	AWR-185 – Frontline Responder Training Course (Protecting Soft Targets) (2 days)	UNLV
	AWR-130 – Incident Response to Terrorist Bombings: Awareness (4 hours)	NMT
	AWR-131 – Prevention of and Response to Suicide Bombing Incidents (4 hours)	NMT
	PER-230 – Incident Response to Terrorist Bombing (6 hours)	NMT
	PER-231 – Prevention and Response to Suicide Bombing Incidents (4 hours)	NMT
	PER-250 – Emergency Response to Terrorism: Operations Course (2 days)	IAFF
	AWR-120 – Law Enforcement Response to WMD (2 days)	LSU
	PER-264 – WMD Law Enforcement Protective Measures (1 day)	CDP
	PER-265 – WMD Law Enforcement Response Actions (1 day)	CDP
	PER-282 – Virtual Terrorism Response Academy (2+ days) (Computer-based training)	Dartmouth
National Incident Management System (NIMS)	AWR-190-W – An Introduction to NIMS/National Response Plan (NRP) (Internet-based) (1 ½ hrs)	ARC
	IS-700 – National Incident Management System: An Introduction	FEMA IS
	IS-800A – National Response Plan: An Introduction	FEMA IS
	ICS-100 – Introduction to the Incident Command System	FEMA IS
	ICS-200 – Incident Command System for Single Resources and Initial Action Incidents	FEMA IS
	ICS-300 – Intermediate Incident Command System	FEMA EMI
	ICS-400 – Advanced Incident Command System	FEMA EMI
Operations Control Center Readiness	Rail Operations Control Center Response to WMD Incidents (OCC)	NTI
Management of Transit Emergencies	Effectively Managing Transit Emergencies (FT00456)	TSI
Coordinated Interagency Emergency Response	Connecting Communities Forum	TSA/FTA/ FEMA
	PER-268 – WMD Incident Complexities (1 day)	CDP
Managing Counterterrorism Programs	Strategic Counter Terrorism for Transit Managers (SCTTM)	JHU

Training Category	Approved Courses	Approved Vendors
Prevention and Mitigation – IEDs and WMDs	AWR-157 – Transit Terrorist Tools and Tactics	FEMA/ Grants
Prevention and Mitigation – IEDs and WMD: CBRNE Incident Management	Transit Explosives Incident Management Seminar (FT00438)	TSI
Transit Vehicle Hijacking Prevention and Response	Transit Response to Bus or Rail Hijackings Seminar (FT00544)	TSI
Integrated Anti-Terrorism Security Program	Land Transportation Anti-Terrorism Training Program	FLETC
Transit System Security Design	Transit System Security (prerequisite)	TSI
	Transit System Security Design Review (FT00538)	TSI

Table 11: Train-the-Trainer Courses

Training Category	Approved Courses	Approved Vendors
Security Awareness Train-the-Trainer	System Security Awareness Train-the-Trainer (SSATTT)	NTI
	AWR-141 – WMD Radiological/Nuclear Awareness Course: Train-the-Trainer (1 day)	NTS
	AWR-160-1 – WMD Awareness Level Training: Train-the-Trainer (1 ½ days)	NDPC
Behavior Recognition Train-the-Trainer	Terrorist Activity Recognition and Reaction (TARR) Train-the-Trainer (TARRTTT)	NTI
Immediate Emergency Response	PER-230-1 – Incident Response to Terrorist Bombing, Train-the-Trainer (4 ½ days)	NMT
	PER-231-1 Prevention and Response to Suicide Bombing Incidents, Train-the-Trainer (4 ½ days)	NMT
	PER-251 – Emergency Response to Terrorism: Operations Course Train-the-Trainer (2 days)	IAFF
	AWR-120 – Law Enforcement Response to WMD: Train-the-Trainer (2 days)	LSU
	PER-264-1 – WMD Law Enforcement Protective Measures: Train-the-Trainer (1 day)	CDP

Using the Training Cost Matrix
The TSGP Training Cost Matrix was created to assist transit systems in developing pre-approved training costs when requesting TSGP funds for employee security training investments.

To use the TSGP Training Cost Matrix:
1. Download and save the file to your hard drive (available on http://www.tsa.gov/join/grants/tsgp.shtm).
2. Read over the course descriptions and review the appropriate categories of employees to receive the training on the "Training Reference Sheet" tab. Identify how many employees in each category should take each training course.
3. To start entering data and calculating training costs, go to the "DATA ENTRY SHEET – Cost Sheet" tab.
4. For each training course, enter in the number of employees, by category that will attend each course.
5. After relevant information for all employees and all training courses is entered, the last row will calculate total training funds requested in the Investment Justification. If the total exceeds $500,000, revisit the cost matrix and remove employees and/or training courses until the total is equal to or less than $500,000.

Training Cost Matrix Submission and File Naming Convention
The training cost matrix must be submitted with the grant application as a file attachment within *grants.gov*. Applicants must use the following file naming convention when submitting Training Cost Matrices:

> **Training Cost Matrix (through *grants.gov* file attachment)**
> State_Region_IJ Number_Training Cost Matrix (Example:
> CO_Denver_IJ#1_Training Cost Matrix)

If you have any questions regarding the Training Cost Matrix, or the FY 2009 TSGP, please contact the Centralized Scheduling and Information Desk (CSID) at askcsid@dhs.gov or 1-800-368-6498 between 8:00 a.m. and 6:00 p.m. EST.

Helpful Hints for Applicants

Are the following components included in the application package?

- Investment Justification

- Any additional Required Attachments

- Standard Form 424, Application for Federal Assistance

- Standard Form 424A, Budget Information

- Standard Form 424B, Assurances

- Standard Form 424C, Budget Information-Construction Form (if applicable)

- Standard Form 424D, Assurances-Construction Programs (if applicable)

- Standard Form LLL, Disclosure of Lobbying Activities

Are the following items addressed within the investment justification narratives and detailed budgets?

- Is the transit agency as well as the transit agencies point of contact(s) identified in the IJ?

- Are the transit agencies current capabilities identified in the IJ?

- Are minimum funding requirements satisfied, as addressed in Part IV?

- Does the IJ and the detailed budget only include allowable costs?

  o Are all of the expenses in the detailed budget addressed in the IJ narrative? (for example, a camera equipment budget line item should be addressed in narrative form in the investment justification as it pertains to the overall security program)

  o Does the information in the detailed budget align with the budget summary in the IJ narrative?

- Does the IJ clearly explain how the projects fit into a funding priority area (as identified in Part I)?

- Does the IJ discuss how this investment will specifically address on or more of the project effectiveness groups identified in the current year's Grant Guidance?

- Does the IJ discuss how this investment will decrease or mitigate risk?

- Is the cost effectiveness of the project clearly explained in the IJ? How does this project provide a high security return on investment?

- Are timelines realistic and detailed?

- Are possible hurdles addressed in a clear and concise fashion?

- Does the M&A total no more than 3% of the total project cost?