U.S. DEPARTMENT OF HOMELAND SECURITY

Fiscal Year 2008

INTERCITY BUS SECURITY GRANT PROGRAM

PROGRAM GUIDANCE AND APPLICATION KIT

February 2008

U.S DEPARTMENT OF HOMELAND SECURITY

CONTENTS

INTRODUCTION

The Intercity Bus Security Grant Program (IBSGP) is one of five grant programs that constitute the Department of Homeland Security (DHS) Fiscal Year (FY) 2008 focus on infrastructure protection activities. IBSGP is one tool among 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 vast bulk of America's critical infrastructure is owned and/or operated by State, local, and private sector partners. The funds provided by the IBSGP are primarily intended to support the work of owners and operators of fixed route intercity and charter bus services.

The purpose of this package is to provide: (1) an overview of the IBSGP; and (2) the formal grant guidance and application materials needed to apply for funding under the program. Also included is an explanation of DHS management requirements for implementation of a successful application.

Making an application for significant Federal funds under programs such as this can be complex. The Department's job is to provide clear guidance and efficient application tools to assist applicants. DHS customers are entitled to effective assistance during the application process, and transparent, disciplined management controls to support grant awards. The Department intends to be good stewards of limited Federal resources, and commonsense partners with State, local, and private sector stakeholders.

The Department understands that individual Intercity Bus systems will have unique needs and tested experience about how best to reduce risk locally. DHS subject matter experts will come to the task with a sense of urgency to reduce risk, but also with an ability to listen carefully to local needs and approaches. In short, DHS commits to respect flexibility and local innovation as the Department funds national homeland security priorities.

A.   Federal Investment Strategy.

IBSGP is an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness, including the security of America's critical infrastructure. IBSGP implements objectives addressed in a series of post-9/11 laws, strategy documents, plans, Executive Orders, and Homeland Security Presidential Directives (HSPDs) outlined in Appendix A. Of particular significance are the National Preparedness Guidelines and its associated work products, including the National Infrastructure Protection Plan and its transportation sector-specific plans and Executive Order 13416 (Strengthening Surface Transportation Security). The National Preparedness Guidelines are an all-hazards vision regarding the Nation's four core

preparedness objectives: 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 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 also integral to the Guidelines' success.[1] They outline 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 some 37 critical capabilities that DHS is making the focus of key investments with State, local, and Tribal partners.

DHS expects its critical infrastructure partners – including recipients of IBSGP– to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations, and investments to the degree practicable. DHS funding priorities outlined in this document reflect 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.

B. Funding Priorities.

The funding priorities for the FY 2008 IBSGP reflect the Department's overall investment strategy, in which two priorities are paramount: risk-based funding and regional security cooperation. The funding priorities also reflect Public Law (PL) 110-53, more commonly known as the 9/11 Bill, which was enacted by Congress in September 2007.

First, and based upon ongoing intelligence analysis, extensive security reviews, consultations with industry partners, and Congressional direction, DHS has once again focused the available intercity bus grant funds on operators serving the Nation's highest-risk metropolitan areas.

Second, DHS places a very high priority on ensuring that all IBSGP applications reflect robust regional coordination and an investment strategy that institutionalizes regional security strategy integration.

In order to be eligible to receive FY 2008 IBSGP grant funding, PL 110-53 requires that all operators have completed a vulnerability assessment and developed a security plan. If the operator has not completed a security plan or vulnerability assessment, the operator may use FY 2008 IBSGP grant funding for only this activity. Please refer to Part I, Section B of the IBSGP grant guidance for more information.

PL 110-53 outlines several uses of funds for over-the-road bus security assistance in section 1532 (b), which are all eligible costs under the FY 2008 IBSGP. Those uses of

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[1] The National Preparedness Guidelines and supporting documents were published in September 2007, and are available at: http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm .

funds are listed below in prioritized order for funding consideration for the FY 2008 IBSGP:

- Development of assessments or security plans:
  - o Development of a vulnerability assessment (VA) that includes, as appropriate:
    - Identification and evaluation of critical assets and infrastructure, including platforms, stations, terminals, and information systems
    - Identification of vulnerabilities to those assets and infrastructure
    - Identification of weaknesses in physical security; passenger and cargo security; the security of programmable electronic devices, computers, or other automated systems which are used in providing over-the-road bus transportation; alarms, cameras, and other protection systems; communications systems and utilities needed for over-the-road bus security purposes, including dispatching systems; emergency response planning; and employee training
  - o Development of a security plan that includes, as appropriate:
    - The identification of a security coordinator having authority to implement security actions, coordinate security improvements, and receive communications from appropriate Federal officials regarding over-the-road bus security
    - A list of needed capital and operational improvements
    - Procedures to be implemented or used by the operator in response to a terrorist attack, including evacuation and passenger communication plans that include individuals with disabilities
    - The identification of steps taken with State and local law enforcement agencies, emergency responders, and Federal officials to coordinate security measures and plans for response to a terrorist attack
    - A strategy and timeline for conducting training to prepare front-line employees for potential security threats and conditions
    - Enhanced security measures to be taken by the operator when the Secretary of DHS declares a period of heightened security risk
    - Plans for providing redundant and backup systems required to ensure the continued operation of critical elements of the operator's system in the event of a terrorist attack
- Operating and capital costs associated with over-the-road bus security awareness, preparedness, and response training, including training for front-line employees for potential security threats and conditions (must be DHS-approved training courses)
- Live or simulated exercises for the purpose of assessing and improving the capabilities of entities to prevent, prepare for, mitigate, respond to, and recover from acts of terrorism (must be DHS-approved exercises)
- Public awareness campaigns for enhanced over-the-road bus security (must be DHS-approved)
- Modifying over-the-road buses to increase their security

- Installing cameras and video surveillance equipment on over-the-road buses and at terminals, garages, and over-the-road bus facilities
- Constructing and modifying terminals, garages, and facilities, including terminals and other over-the-road bus facilities owned by State or local governments, to increase their security
- Establishing and improving an emergency communications system linking drivers and over-the-road buses to the recipient's operations center or linking the operations center to law enforcement and emergency personnel.
- Implementing and operating passenger screening programs for weapons and explosives
- Protecting or isolating the driver of an over-the-road bus
- Chemical, biological, radiological, or explosive detection, including canine patrols for such detection
- Acquiring, upgrading, installing, or operating equipment, software, or accessorial services for collection, storage, or exchange of passenger and driver information through ticketing systems or other means and for information links with government agencies, for security purposes
- Overtime reimbursement, including reimbursement of State, local, and tribal governments for costs, for enhanced security personnel assigned to duties related to over-the-road bus security during periods of Orange or Red Alert levels or National Special Security Events

Note: As in FY 2007, the program will continue to de-emphasize the procurement of closed-circuit television cameras (CCTV) for vehicles as a deterrent to terrorism. Video systems with the capability to stream live video to first responders, however, are encouraged.

C. Allowable Expenses.

Specific investments made in support of the funding priorities discussed above generally fall into one of seven categories. FY 2008 IBSGP allowable costs are therefore divided into the following seven categories (not listed in any particular priority):

1. Facility Security Enhancements
2. Vehicle/Driver Security Enhancements
3. Passenger Screening
4. Training
5. Exercises
6. Development of Vulnerability Assessments/Security Plans
7. Management and Administration

Appendix B provides additional detail about each of these seven allowable expense categories, as well as a section that identifies several specifically prohibited cost items.

PART I.
AVAILABLE FUNDING AND ELIGIBLE APPLICANTS

This section summarizes the total amount of funding available under the FY 2008 IBSGP, the basic distribution method used to administer the grants, and identifies the eligibility requirements for bus companies for FY 2008 funding.

A. Available Funding.

In FY 2008, the total amount of funds distributed under IBSGP is $11,172,250. The available funding will be divided into two pools, as summarized in Table 1. As with the FY 2007 program, eligible FY 2008 IBSGP applicants will be placed into one of two tiers. Tier I will be comprised of the larger intercity bus systems in the country that own at least 250 over-the-road buses and meet the eligibility requirements. Tier II will be comprised of all other intercity bus systems that meet the minimum eligibility requirements.

Table 1. FY 2008 IBSGP Funding by Tier

RISK TIER	FY 2008 FUNDING
TIER I	$6,144,738
TIER II	$5,027,512
TOTAL:	$11,172,250

B. Selection of Eligible Applicants.

The FY 2008 DHS Appropriations Act provides discretionary funds for grant programs to address security enhancements for fixed route intercity and charter bus transportation services. Per PL 110-53, **the only eligible grantees for the FY 2008 IBSGP are private operators providing transportation by an over-the-road bus.**

Minimum Eligibility Requirements
Eligibility for funding under both tiers is limited to applicants meeting one or both of the following criteria:

- Operate fixed route intercity bus transportation providing services to a defined Urban Areas Security Initiative (UASI) jurisdiction. Appendix E provides a list of FY 2008 UASI jurisdictions.

- Operate a charter bus service using over-the-road buses and provide a minimum of *50 trips* annually to one or more defined UASI jurisdictions.

The following definitions are applicable for the purpose of meeting FY 2008 program eligibility requirements:

- ***Fixed route, intercity bus service*** is defined as passenger transportation service provided to the general public for compensation over specified, pre-determined, and published routes between cities or terminals using over-the-road-buses.

- ***Charter bus service*** is defined as a bus service that operates neither over fixed routes nor on regular schedules. A charter bus service is characterized by the rental of a bus and the services of a driver to a person or group where all passengers embark and disembark at the same point. A charter bus service must use over-the-road buses.

- ***An over-the-road bus*** is defined as a vehicle designated for long-distance transportation of passengers, characterized by integral construction with an elevated passenger deck located over a baggage compartment and at least 35 feet in length with a capacity of more than 30 passengers.

- ***An Urban Areas Security Initiative (UASI) jurisdiction*** is defined in the Homeland Security Grant Program (HSGP) FY 2008 Program Guidelines and Application Kit. Please see: www.fema.gov/grants. Appendix E provides a list of FY 2008 UASI jurisdictions.

- A ***trip*** is defined as a single bus journey from an embarkation point to the furthest destination in that journey. For example, a trip from New York City to Denver to San Francisco would be considered a single trip. A trip is made to a defined UASI jurisdictions if at any point in the trip the bus stops in a UASI jurisdiction and embarks or disembarks passengers. For example, a trip from Newburgh, NY to Manhattan to Charleston, WV is a trip to a defined UASI jurisdiction if passengers embark or disembark in Manhattan. Appendix E provides a list of FY 2008 UASI jurisdictions.

Note: Intracity bus service is not eligible for funding under the FY 2008 IBSGP. Funding for intracity bus security is being addressed through the FY 2008 Transit Security Grant Program.

Data Submission Requirements for Tier I Eligibility
To be considered under Tier I, the applicant must demonstrate that it meets the minimum IBSGP eligibility requirements **and** maintains an operational fleet of at least 250 over-the-road buses used in fixed route or charter service categories deemed as eligible. Prospective applicants are asked to provide the following data by **February 15,**

2008 (prior to the application deadline) so that DHS can make appropriate Tier I and Tier II eligibility determinations in advance of the application deadline:

- Total number of over-the-road buses in service (excluding vehicles not in operation).
- Total number of over-the-road buses in eligible service categories.[2]
- The number of over-the-road buses utilized in each eligible service category and the UASI jurisdiction(s) being served. Also, identify how many of these service multiple UASI jurisdictions.
- A source which would allow DHS to verify fleet size, such as standard inventory documents, insurance policies on covered buses, copies of Unified Carrier Registrations, Single State Registrations, Department of Transportation numbers, etc.

This information must be submitted via email to askcsid@dhs.gov **no later than February 15, 2008.** Tier I eligibility determinations will be made on the basis of the data provided, and DHS will provide a response to applicants in time for them to apply for funding in Tier II should they be found ineligible under Tier I criteria. **Prospective Tier I applicants that do not submit their eligibility information to DHS by the deadline will automatically have any applications they submit considered as part of Tier II.**

Vulnerability Assessment and Security Plan
Per PL 110-53, in order to be eligible, **the operator must have conducted a vulnerability assessment and developed a security plan.**   If the operator already has a current (updated within the last three years) vulnerability assessment and security plan, they must certify as such. (Please see Appendix I for a certification template.) If the operator has not conducted a vulnerability assessment and/or developed a security plan, then FY 2008 IBSGP funding may be used to meet those requirements.

If the operator does not have a vulnerability assessment and/or security plan, or if they are not current, then the only project that they can propose is for the vulnerability assessment and security plan development. Other project requests will not be considered until the vulnerability assessments and security plans are developed and/or certified by the bus operator. Further:
- Tier I operators must complete them within one year of the grant award. The assessments and plans must be submitted to DHS through the cooperative agreement quarterly meetings. If a grant recipient does not submit a vulnerability assessment or security plan within one year, the recipient will be required to return their grant award, in full, to DHS.
- Tier II operators are highly encouraged to complete them within one year of the grant award. Tier II operators should be prepared to submit them upon request.

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[2] Note: School buses, fixed service routes under contract to transit authorities within UASI jurisdictions, and fixed service routes that do not include **at least** one stop in a qualifying UASI jurisdiction are not eligible service categories.

Eligible grantees in both Tier I and Tier II may request FY 2008 IBSGP funding to conduct a vulnerability assessment and develop a security plan, and must still meet the above requirements. **Other project requests will not be considered until the vulnerability assessments and security plans are developed and/or certified by the bus operator.**

A security plan template is available on the following website: http://www.tsa.gov/join/grants/ibsgp.shtm.

Ineligible Service Categories

- School buses
- Fixed service routes under contract to Transit authorities within UASI jurisdictions
- Fixed service routes not stopping in qualifying UASI jurisdictions
- Intracity trolley and/or tour services
- Bus company owners that are not operators

Note: Eligible applicants may submit one application for funding of up to three projects. If a bus company operates both a fixed route and a charter bus service, only one application may be submitted for that company. However, the specific projects included in that application may address one or both of the services, assuming both are eligible under the FY 2008 IBSGP guidelines.

C. Eligible Applicants and Role of State Administrative Agencies (SAA).

The Federal Emergency Management Agency (FEMA) will ensure that SAAs are aware of bus projects funded under this program.

Part II.
Application Evaluation Process

This section summarizes the overall timetable for the FY 2008 program, and core process and priorities that will be used to assess applications under the FY 2008 IBSGP. The next section provides detailed information about specific application requirements and the process for submission of applications.

A. Overview -- Application Deadline and Review Process.

Completed applications must be submitted to DHS via *grants.gov* (see below for details about this Federal grants application tool) *no later than 11:59 PM EDT, March 17, 2008.*

The FY 2008 IBSGP will use risk-based prioritization consistent with DHS policy. The following method of selection will be followed under this program:

- FEMA, in conjunction with the Transportation Security Administration (TSA), will verify compliance with each of the administrative and eligibility criteria identified in the application kit.

- Eligible applications will be reviewed and scored by a Federal interagency working group, including representatives from TSA, Federal Motor Carrier Safety Administration (FMCSA), and FEMA.

- TSA and FEMA will review the interagency recommendations and make recommendations for funding to the Secretary of Homeland Security.

B. IBSGP Program Management: Roles and Responsibilities at DHS.

Within DHS, TSA by law has the lead for managing the Department's security oversight and security programs for the intercity bus industry. TSA provides intercity bus system subject matter expertise within DHS and determines the primary security architecture for the IBSGP 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 IBSGP. While both TSA and FEMA interface directly with the intercity bus stakeholders, TSA will prioritize specific investments and set security priorities associated with IBSGP.

Effective management of IBSGP entails a partnership within DHS, the boundaries of which have been defined by Secretary Chertoff. In order to make this partnership seamless to external partners of DHS, upon award of a FY 2008 IBSGP grant, two individuals will be identified for each intercity bus company who will serve as primary program managers -- one individual from TSA and one from FEMA. These two individuals will be assigned to be turnkey facilitators for the grant recipients. They will meet directly with grantees as needed, and will coordinate with each other routinely to facilitate support for the individual companies in a given region. These individuals will be the one-stop IBSGP program managers for DHS customers.

C. Evaluation Criteria.

The factors that will be considered in the evaluation of the Investment Justifications and Detailed Budgets are:

1. **Funding priorities.** Projects will be evaluated and prioritized based on the extent to which they address the specific funding priorities contained in this *FY 2008 Program Guidance and Application Kit.*

2. **Cost effectiveness.** Projects will be evaluated and prioritized on the expected impact on security relative to the investment.

3. **Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk.

4. **Sustainability without additional Federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.

5. **Timelines.** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes.

D. Grant Application Support from DHS.

During the application period, DHS will identify multiple opportunities for a cooperative dialogue between the Department and potential applicants. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY 2008 IBSGP, and to help in submission of projects that will have the highest impact on reducing risks for the intercity bus systems and their customers.

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PART III.

PROGRAM REQUIREMENTS

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This section provides detailed information about specific application requirements and the process for submission of applications.

A. General Program Requirements.

In administering the program, the eligible intercity bus system(s) must comply with the following general requirements:

1. **Management and Administration.** Any management and administration (M&A) costs associated with individual projects submitted for consideration of funding under the FY 2008 IBSGP must be included in the budget for that project. M&A costs associated with managing the overall IBSGP award itself must be accounted for separately. M&A costs may not exceed <u>three percent</u> (3%) of the total grant award.

2. **Minimum Project Amounts.**
   a. For Tier I applicants, the minimum amount that may be requested for projects focused on training and/or exercises is $50,000. There is no minimum amount for vulnerability assessment or security plan development. The minimum amount that may be requested for other projects is $100,000.
   b. For Tier II applicants, the minimum amount that may be requested for projects focused on training and/or exercises is $5,000. There is no minimum amount for vulnerability assessments or security plan development. The minimum amount that may be requested for other projects is $25,000.

3. **Cost Share Requirement.** The maximum Federal share of any project supported through IBSGP is 75%. Therefore, grantees are required to provide non-Federal funding (cash or in-kind) of at least 25% of approved project costs for the FY 2008 IBSGP. For example, if the total project cost is $100,000, the maximum the DHS grant award would be is $75,000 with the grantee required to provide the remaining 25%, or $25,000, of the project cost.

4. **Corporate Security Review (CSR) and Audit.** By accepting a FY 2008 IBSGP award, the grantee must allow DHS to perform a CSR and audit upon request. Grantees will be required to provide basic information concerning critical assets, threat assessments, vulnerability assessments, management and oversight of the security plan, personnel security, training, secure areas, exercises, cyber security, and physical security countermeasures.

B. Application Requirements.

The following steps must be completed using the online *grants.gov* system to ensure a successful application submission, however applicants should review the relevant program-specific sections of this Guidance for additional requirements that may apply.

1. **Application via *grants.gov*.** DHS participates in the Administration's e-government initiative. As part of that initiative, all IBSGP applicants must file their applications using the Administration's common electronic "storefront" -- *grants.gov*.

2. **Application deadline**. Completed Applications must be submitted to *grants.gov* no later than **11:59 PM EDT, March 17, 2008**.

3. **Valid Central Contractor Registry (CCR) Registration**. The application process also involves an updated and current registration by the applicant and the applicant's Business Point of Contact through the CCR. Eligible applicants must confirm CCR registration at *http://www.ccr.gov,* as well as apply for FY 2008 IBSGP funding through *grants.gov* at *http://www.grants.gov*.

   While registration with *grants.gov* and the CCR is a one-time process, new applicants are strongly encouraged to complete their registrations at least ten (10) days prior to the March 17, 2008 application deadline.

4. **Online application.** The online application must be completed and submitted using *grants.gov* after CCR registration is confirmed. The online application includes the following required forms and submissions:

   - Standard Form 424, Application for Federal Assistance
   - Standard Form 424B, Assurances
   - Standard Form LLL, Disclosure of Lobbying Activities
   - Standard Form 424A, Budget Information
   - Certification Regarding Debarment, Suspension, and Other Responsibility Matters
   - Any additional Required Attachments

   The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "*Intercity Bus Security Grant Program.*" **The CFDA number is 97.057.** When completing the online application, applicants should identify their submissions as new, non-construction applications.

5. **Project period.** The project period will be for a period not to exceed 36 months. Extensions to the period of performance will be considered on a case-by-case basis only through formal written requests to DHS.

6. **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 1-800-333-0505.

7. **Investment Justifications.** As part of the 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.

   Please see Appendix D as well for further guidance in preparing the Investment Justification.

8. **Detailed budget**. The applicant must also provide a detailed budget for the funds requested. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs and any appropriate narrative. The budget should also demonstrate the required match. Additional details and templates for the Detailed Budget may be found in Appendix F.

9. **Vulnerability Assessment and Security Plan Certification Form (if appropriate)**. If the applicant has completed a vulnerability assessment and security plan, they must complete the certification form and submit it as part of their application in order to be considered for funding for other projects. The template for the certification form may be found in Appendix I.

10. **Standard financial requirements.**

    10.1 -- Non-supplanting certification: This certification affirms that 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.

    10.2 -- Assurances: Assurances forms (SF-424B and SF-424D) can be accessed at *http://www07.grants.gov/agencies/approved_standard_forms.jsp* It is the responsibility of the recipient of the Federal funds to understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

    10.3 -- Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement. This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 44 CFR Part

17,which contains provisions for *Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants); and 44* CFR part 18, *the New Restrictions on Lobbying.* All of these can be referenced at: *http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html.*

11. Technology requirements.

11.1 -- National Information Exchange Model. To support homeland security, public safety, and justice information sharing, DHS requires all grantees to use the latest National Information Exchange Model (NIEM) specifications and guidelines regarding the use of Extensible Markup Language (XML) for all IBSGP awards. Further information about the required use of NIEM specifications and guidelines is available at *http://www.niem.gov*.

11.2 -- 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). State, local, and industry partners are increasingly incorporating geospatial technologies and data in an effort to prevent, protect against, respond to, and recover from terrorist activity and incidents of national significance. DHS encourages grantees to align geospatial activities with the guidance available on the FEMA website at *http://www.fema.gov/grants.*.

12. Administrative requirements.

12.1 -- Freedom of Information Act (FOIA). DHS recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (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 DHS 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.

12.2 -- Protected critical infrastructure information (PCII). The PCII Program, established pursuant to the Critical Infrastructure Information Act of 2002 (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector, voluntarily to 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 Protected Critical Infrastructure Information, these documents can only be shared with authorized users who agree to safeguard the information.

PCII accreditation is formal recognition that the covered government entity has the capacity and capability to receive and store PCII. DHS encourages all SAAs to pursue PCII accreditation to cover their State government and attending local government agencies. Accreditation activities include signing an 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*.

12.3 -- 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 from DHS 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 1972, 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.

12.4 -- Services to limited English proficient (LEP) persons. Recipients of DHS financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency (LEP). 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*.

12.5 -- 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 DHS. In addition, Executive Order #13347, entitled "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, among other things, encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

DHS 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:

- **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 local, state, and federal 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.

12.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts. In accordance with the Consolidated Appropriations Act of 2008 (P.L. 110-161), all FY 2008 grant funds must comply with the following two requirements:

- None of the funds made available through shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 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).

12.7 – 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 (see Section E.8) 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 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.

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.*

C. Intercity Bus Application Checklist.

All IBSGP applicants must complete the following:

1. **SF-424 Grant Application with Certifications (through *grants.gov*)**
    - Non-Supplanting Certification
    - Assurances
    - Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement
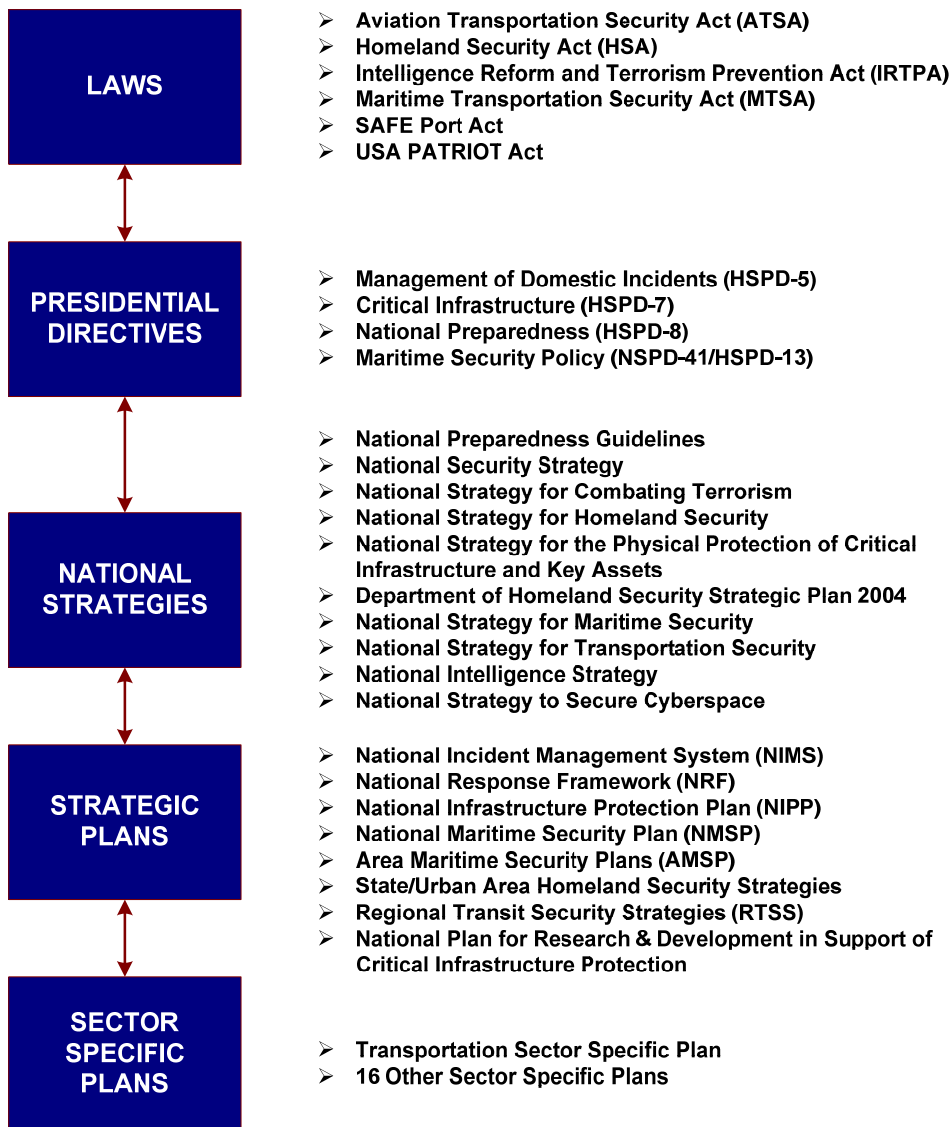
2. **DUNS Number (through *grants.gov* form)**

3. **Investment Justification (through *grants.gov* file attachment)** See Appendix D.

4. **Detailed Budget (through *grants.gov* file attachment)** See Appendix F.

5. **Vulnerability Assessment and Security Plan Certification Form, if applicable (through *grants.gov* file attachment)**. See Appendix A.

Appendix A
Alignment with the National Preparedness Architecture

Figure 1, below, graphically summarizes key elements of the national preparedness architecture.   The IBSGP seeks maximum alignment with this architecture.

Figure 1.
Laws, Strategy Documents, Directives and Plans That Impact the Grant Program

LAWS	
	➢ Aviation Transportation Security Act (ATSA)
	➢ Homeland Security Act (HSA)
	➢ Intelligence Reform and Terrorism Prevention Act (IRTPA)
	➢ Maritime Transportation Security Act (MTSA)
	➢ SAFE Port Act
	➢ USA PATRIOT Act

PRESIDENTIAL DIRECTIVES	
	➢ Management of Domestic Incidents (HSPD-5)
	➢ Critical Infrastructure (HSPD-7)
	➢ National Preparedness (HSPD-8)
	➢ Maritime Security Policy (NSPD-41/HSPD-13)

NATIONAL STRATEGIES	
	➢ National Preparedness Guidelines
	➢ National Security Strategy
	➢ National Strategy for Combating Terrorism
	➢ National Strategy for Homeland Security
	➢ National Strategy for the Physical Protection of Critical Infrastructure and Key Assets
	➢ Department of Homeland Security Strategic Plan 2004
	➢ National Strategy for Maritime Security
	➢ National Strategy for Transportation Security
	➢ National Intelligence Strategy
	➢ National Strategy to Secure Cyberspace

STRATEGIC PLANS	
	➢ National Incident Management System (NIMS)
	➢ National Response Framework (NRF)
	➢ National Infrastructure Protection Plan (NIPP)
	➢ National Maritime Security Plan (NMSP)
	➢ Area Maritime Security Plans (AMSP)
	➢ State/Urban Area Homeland Security Strategies
	➢ Regional Transit Security Strategies (RTSS)
	➢ National Plan for Research & Development in Support of Critical Infrastructure Protection

SECTOR SPECIFIC PLANS	
	➢ Transportation Sector Specific Plan
	➢ 16 Other Sector Specific Plans

Appendix B
IBSGP Allowable Expenses

A. Overview.

Specific investments made in support of the funding priorities discussed above generally fall into one of seven categories. FY 2008 IBSGP allowable costs are therefore divided into the following seven categories:

1. Facility Security Enhancements
2. Vehicle/Driver Security Enhancements
3. Passenger Screening
4. Training
5. Exercises
6. Development of Vulnerability Assessments/Security Plans
7. Management and Administration

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

1. Facility Security Enhancements. FY 2008 IBSGP funds may be used for the following facility security enhancement costs:

- **Capital Projects.** Grant funds may be used on projects that focus on lighting, fencing, securing gates, door access codes, cameras, etc.

- **Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff or contractors/consultants may be hired to support facility security enhancement-related activities. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

2. Vehicle/Driver Security Enhancements. FY 2008 IBSGP funds may be used for the following costs:

- Vehicle security enhancements focus on theft prevention, real-time bus inventory and inventory control, tracking, monitoring, and locating technologies. Applicants are discouraged from submitting projects that propose the use of CCTV as an on-board deterrent to terrorism. Driver security enhancements focus on protection for the bus driver to prevent would-be terrorists from immobilizing the driver and/or hijacking the bus.

- **Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff or contractors/consultants may be hired to support security enhancement-related activities. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

3. Passenger Screening. FY 2008 IBSGP funds may be used for the implementation and operation of passenger screening programs. These screening programs should focus on weapons and explosives.

4. Training. FY 2008 IBSGP funds may be used for the following training activities:

- **Training Workshops and Conferences.** Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.

- **Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff may be hired to support training-related activities. The services of contractors/consultants may also be procured by the State in the design, development, conduct, and evaluation of CBRNE training. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

- **Public Sector Overtime and Backfill Costs.** Overtime and backfill costs associated with the design, development, and conduct of CBRNE training are allowable expenses. Payment of overtime expenses will be for work performed by recipient or sub-recipient employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the training project(s). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that the event being attended is a DHS-approved course. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation, and Unemployment Compensation. *Grant funds cannot be used for personnel or salary costs for employees to attend training sessions. Grantees from the public sector seeking to claim overtime or backfill costs will be required to submit verification. Private sector employee overtime and backfill costs, as well as straight time costs, are not eligible expenses.*

- **Travel.** Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending DHS-approved courses. These costs must be in accordance with State law as highlighted in FEMA's codified regulations, 44 CFR. Recipients must also follow State regulations regarding travel. If a State or Territory does not have a travel policy they must follow Federal guidelines and rates, as explained in 44 CFR.

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

- **Other Items.** These costs include the rental of space/locations for planning and conducting training, badges, etc.

  Note: FY 2008 IBSGP funding is not intended as a hiring program and funds may not be used to support hiring that would support new or existing full-time employee positions.

5. Exercises. FY 2008 IBSGP 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.

- **Contractors/Consultants.** Contractors/Consultants staff may be hired to support exercise-related activities. The services of contractors/consultants may also be procured to support the design, development, conduct, and evaluation of terrorism exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

- **Public Sector Overtime and Backfill Costs.** Overtime and backfill costs associated with the design, development, and conduct of terrorism exercises are allowable expenses. Payment of overtime expenses will be for work performed by employees of public sector recipients or sub-recipients 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. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation, and Unemployment Compensation.   *Grant funds cannot be used for personnel or salary costs for employees to attend exercises. Grantees from the public sector seeking to claim overtime or backfill costs will be required to submit verification. Private sector employee overtime and backfill costs, as well as straight time costs, are not eligible expenses.*

- **Travel.** Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s). These costs must be in accordance with State law as highlighted in FEMA's codified regulations, 44 CFR. Recipients must also follow State regulations regarding travel. If a State or Territory does not have a travel policy they must follow Federal guidelines and rates, as explained in 44 CFR.

- **Supplies.** Supplies are items that are expended or consumed during the

course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).

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

6. **Development of Vulnerability Assessment and Security Plans.** FY 2008 IBSGP funds may be used for the following types of activities:

Vulnerability Assessments
- The identification and evaluation of critical assets and infrastructure, including platforms, stations, terminals, and information systems
- The identification of vulnerabilities to those assets and infrastructure
- The identification of weaknesses in physical security; passenger and cargo security; the security of programmable electronic devices, computers, or other automated systems which are used in providing over-the-road bus transportation; alarms, cameras, and other protection systems; communications systems and utilities needed for over-the-road bus security purposes, including dispatching systems; emergency response planning; and employee training

Security Plans
- The identification of a security coordinator having authority to implement security actions, coordinate security improvements, and receive communications from appropriate Federal officials regarding over-the-road bus security
- A list of needed capital and operational improvements
- Procedures to be implemented or used by the operator in response to a terrorist attack, including evacuation and passenger communication plans that include individuals with disabilities
- The identification of steps taken with State and local law enforcement agencies, emergency responders, and Federal officials to coordinate security measures and plans for response to a terrorist attack
- A strategy and timeline for conducting training to prepare front-line employees for potential security threats and conditions
- Enhanced security measures to be taken by the operator when the Secretary declares a period of heightened security risk
- Plans for providing redundant and backup systems required to ensure the continued operation of critical elements of the operator's system in the event of a terrorist attack

7. **Management and Administrative (M&A) Costs, not to exceed three percent (3%) of the total grant award.** FY 2008 IBSGP 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 2008 IBSGP.

- **Travel expenses:** To assist with the management of the FY 2008 IBSGP.

- **Meeting-related expenses:** To assist with the management of the FY 2008 IBSGP.

For a complete list of allowable meeting-related expenses, please review FEMA's codified regulations, 44 CFR.

B. Other Authorized Expenditure Guidance.

- **Emergency communications technology** that focus on theft prevention, real-time bus inventory, tracking, monitoring, and locating technologies.

- **Coordinating with local police and emergency responders** that are evaluated as activities to address the response to and recovery of a catastrophic event and/or a terrorist attack.

- **Training and Exercises** that focus on domain awareness training and participating in exercises to coordinate and prepare for an incident or attack.

- **Improvement of ticket identification and further implementation of passenger and baggage screening enhancements** that focus on programs which utilize an established methodology for screening passengers, their carry-on baggage, and/or their checked baggage, for weapons and/or explosives.

Note: For 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 Occupational Safety and Healthy Administration (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. Any equipment purchased with IBSGP funds must be solely used for IBSGP projects and cannot have a dual-use function. For instance, a computer used to monitor a CCTV system cannot also be used for general office work.

A list of applicable standards is found at the following website: *http://rkb.mipt.org*.

C. Unallowable Costs.

FY 2008 IBSGP funds may **not** be used for the following activities:

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, recurring operating costs (e.g., cell phone services, maintenance contracts, etc.), weapons systems, and ammunition

- Activities unrelated to the completion and implementation of projects approved under the IBSGP

- Personnel costs (except as noted under Allowable Training, Exercise, and Management & Administration Costs above)

- Maintenance costs

- Monthly service charges or recurring costs

- Pre-agreement costs (i.e., costs incurred prior to the start of the grant period)

Appendix C
Grants.Gov Quick-Start Instructions

DHS participates in the Bush 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 SAAs must apply for funding through this portal, accessible on the Internet at *http://www.grants.gov*.

Application attachments submitted via *grants.gov* must be in one of the following formats: Microsoft Word (*.doc), PDF (*.pdf), or text (*.txt). Use the Catalog of Federal Domestic Assistance (CFDA) number listed in the relevant program guidance section of this document in *grants.gov*.

This Appendix is intended to provide guidance on the various steps and activities associated with filing an application using *grants.gov.*

Step 1: Registering.

Registering with *grants.gov* is a one-time process; however, if you are a first time registrant **it could take 3-5 business days to have your registration validated, confirmed, and receive your user name and password**. It is highly recommended you start the registration process as early as possible to prevent delays in submitting your application package to our agency by the deadline specified. While your registration is pending, you may continue with steps 2, 3, and 4 of these instructions. Registration must be complete for you to be able to submit (step 5) and track (step 6) an application.

1. Establishing an e-business point of contact. *grants.gov* requires an organization to first be registered in the CCR before beginning the *grants.gov* registration process. If you plan to authorize representatives of your organization to submit grant applications through *grants.gov*, proceed with the following steps. If you plan to submit a grant application yourself and sign grant applications and provide the required certifications and/or assurances necessary to fulfill the requirements of the application process, proceed to DUNS Number and then skip to the Authorized Organization Representative and Individuals section.

Go to *www.grants.gov*, and click on the "Get Started" tab at the top of the screen.

- Click the "e-Business Point of Contact" option and click the "GO" button on the bottom right of the screen. If you have already registered with *grants.gov*, you may log in and update your profile from this screen.

- To begin the registration process, click the "Register your Organization [Required]" or "Complete Registration Process [Required]" links. You may print a

registration checklist by accessing
www.grants.gov/assets/OrganizationRegCheck.pdf.

2. DUNS number. You must first request a Data Universal Numbering System number. Click "Step 1. Request a DUNS Number." If you are applying as an individual, please skip to "Authorized Organization Representative and Individuals." If you are applying on behalf of an organization that already has a DUNS number, please proceed to "Step 2. Register with Central Contractor Registry (CCR)." You may obtain a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1–866–705–5711.

3. Central Contractor Registry.   Registering with the CCR, updating or changing your profile could take up to three to five business days to be confirmed and validated. This delay could prevent your application from being submitted by the deadline specified, so you should register or make changes to your profile as early in the process as possible.

Once you have a DUNS number, click on "Step 2. Register with Central Contractor Registry (CCR)." Here you are required to designate an individual as a point of contact. This point of contact is the sole authority for the organization and has the capability of issuing or revoking another individual's authority to submit grant applications through *grants.gov*.

A registration worksheet is provided to assist in the CCR registration process at *http://www.ccr.gov*. It is recommended you review the "Tips for registering with the CCR" at the bottom of this template.

- Go to *http://www.ccr.gov* or click on the CCR icon in the middle of the screen to begin the registration process. To see if your organization is already registered, click "Search CCR" at the top left side of the screen. Search entries must be exact to accurately search the database. If your organization is already registered, you can scroll down and see who the e-Business point of contact is for your agency. If your organization is not already registered, return to the CCR home page and click "Start New Registration" at the top left of the screen.

- If you have problems or questions about the CCR registration process, please contact the CCR Assistance Center at (888) 227–2423.

- Once your registration is complete, you will receive an e-mail with a Trading Partner Identification Number (TPIN) and Marketing Partner Identification Number (MPIN) number. You will need the MPIN number to register with *grants.gov*. If your organization is already registered with the CCR, you will need to obtain the MPIN number from your e-Business POC.

4. Authorize your Organization Representative. Click "Step 3. Authorize your Organization Representative." Follow steps 1-4. You will need your DUNS + 4 digit number and the MPIN number CCR e-mailed to you.

5. Log in as e-Business Point of Contact. You may now go to "Step 4. Log in as e-Business Point of Contact." Here you may authorize or revoke the authority of the Authorized Organization Representative. Once you are logged in, go to Step 2. *Downloading the Application Viewer*, below.

6. Authorized Organization Representative and Individuals. If you plan to submit a grant application as an individual or an Authorized Organization Representative, with authority to sign grant applications and the required certifications and/or assurances necessary to fulfill the requirements of the application process, proceed with the following steps:

- Go to *www.grants.gov* and click on the "Get Started" tab at the top of the screen.

- Click the "Authorized Organization Representative (AOR)" option and click the "GO" button to the bottom right of the screen. If you are applying as an individual, click the "Individuals" option and click the "GO" button to the bottom right of the screen.

- If you have previously registered as an AOR, you may start searching for this grant opportunity from this page. Otherwise, you must complete the first-time registration by clicking "Complete First-Time Registration [Required]." You also may click on "Review Registration Checklist" and print a checklist for the following steps (see *www.grants.gov/assets/AORRegCheck.pdf*).

- Individuals may click the "registration checklist" for help in walking through the registration process.

7. Credential Provider. Once you have entered the registration process, you must register with the credential provider, to safeguard the security of your electronic information. You must have your agency's or individual DUNS + 4 digit number to complete this process. Now, click on "Step 1. Register with a Credential Provider." Enter your DUNS number and click "Register." Once you have entered the required information, click the "Submit" button.

If you should need help with this process, please contact the Credential Provider Customer Service at (800) 386–6820. It can take up to 24 hours for your credential provider information to synchronize with *grants.gov*. Attempting to register with *grants.gov* before the synchronization is complete may be unsuccessful.

8. *Grants.gov*. After completing the credential provider steps above, click "Step 2. Register with *grants.gov*." Enter the same user name and password used when registering with the credential provider. You will then be asked to provide identifying information and your organization's DUNS number. After you have completed the

registration process, *grants.gov* will notify the e-Business POC for assignment of user privileges.

Complete the "Authorized Organization Representative User Profile" screen and click "Submit." *Note:* Individuals do not need to continue to the "Organizational Approval" step below.

9. Organization Approval. Prior to submitting a grant application package, you must receive approval to submit on behalf of your organization. This requirement prevents individuals from submitting grant application packages without permission. A notice is automatically sent to your organization's e-Business POC. Then, your e-Business POC approves your request to become an AOR. You may go *to http://www.ccr.gov* to search for your organization and retrieve your e-Business POC contact information.

Once organization approval is complete, you will be able to submit an application and track its status.

Step 2: **Downloading the Application Viewer.**

You may download the PureEdge Viewer while your registration is in process. You also may download and start completing the application forms in steps 3 and 4 below. This application viewer opens the application package needed to fill out the required forms. The download process can be lengthy if you are accessing the Internet using a dial-up connection.

- From the *grants.gov* home page, select the "Apply for Grants" tab at the top of the screen.

- Under "Apply Step 1: Download a Grant Application Package and Applications Instructions," click the link for the PureEdge Viewer (*http://www.grants.gov/DownloadViewer*). This window includes information about computer system requirements and instructions for downloading and installation.

If you are a Macintosh user, please read the PureEdge Support for Macintosh white paper available at
   www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge .pdf.

- Scroll down and click on the link to download the PureEdge Viewer (*www.grants.gov/PEViewer/ICSViewer602_grants.exe*).

- You will be prompted to save the application. Click the "Save" button and the "Save As" window opens. Select the location where you would like to save PureEdge Viewer and click the "Save" button.

- A window appears to show the progress of the download. When the downloading is complete, click to close the dialog box.

- To install the PureEdge Viewer, locate the file on your computer and click to open it. When you are prompted to run the file, click "RUN." Click "Yes" to the prompt to continue with the installation. The ICS InstallShield Wizard extracts the necessary files and takes you to the "Welcome" page.

- Click "Next" to continue.

- Read the license agreement and click "Yes" to accept the agreement and continue the installation process. This takes you to the "Customer Information" screen.

- Enter a User Name and a Company Name in the designated fields and click "Next."

- The "Choose Destination Location" window prompts you to select the folder in which PureEdge Viewer will be installed. To save the program in the default folder, click "Next." To select a different folder, click "Browse." Select the folder in which you would like to save the program, click on "OK," then click "Next."

- The next window prompts you to select a program folder. To save program icons in the default folder, click "Next." To select a different program folder, type a new folder name or select one from the list of existing folders, then click "Next." Installation will begin.

- When installation is complete, the "InstallShield Wizard Complete" screen will appear. Click "Finish." This will launch the "ICS Viewer Help Information" window. Review the information and close the window.

Step 3: Downloading an Application Package.

Once you have downloaded the PureEdge Viewer, you may download and view this application package and solicitation instructions.

- From the *grants.gov* home page, select the "Apply for Grants" tab at the top of the screen.

- Click "Apply Step 1: Download a Grant Application Package and Application Instructions."

- Enter the CFDA number for this announcement, **97.057**. Then click "Download Package." This will take you to the "Selected Grants Application for Download" results page.

- To download an application package and its instructions, click the corresponding download link below the "Instructions and Application" column.

- Once you select a grant application, you will be taken to a "Download Opportunity Instructions and Application" screen to confirm that you are downloading the correct application. If you would like to be notified of any changes to this funding opportunity, enter your e-mail address in the corresponding field, then click the "Submit" button.

- After verifying that you have downloaded the correct opportunity information, click the "Download Application Instructions" button. This will open a PDF of this grant solicitation. You may print the solicitation or save it to your computer by clicking either the print icon at the top tool bar or the "File" button on the top tool bar. If you choose to save the file, click on "Save As" and save to the location of your choice.

- Click the "Back" Navigation button to return to the "Download Opportunity Instructions and Application" page. Click the "Download Application Package" button. The application package will open in the PureEdge Viewer.

- Click the "Save" button to save the package on your computer. Because the form is not yet complete, you will see a prompt that one or more fields may be invalid. You will complete these fields in step 4, but for now, select "Yes" to continue. After you click "Yes," the "Save Form" window will open.

- Save the application package to your desktop until after submission. Select a name and enter it in the "Application Filing Name" field. Once you have submitted the application through *grants.gov*, you may then move your completed application package to the file location of your choice.

- Click the "Save" button. If you choose, you may now close your Internet browser and complete your application package offline by double clicking the icon on your desktop. You do not have to be connected to the Internet to complete the application package in step 4 below.

Step 4: Completing the Application Package.

This application can be completed entirely offline; however, you will need to log in to *grants.gov* to submit the application in step 5.

- Locate the application package you saved on your computer. When you open the package, it will be in PureEdge Viewer. You may save your application at any time by clicking on the "Save" button at the top of the screen.

- Enter a name for your application package in the "Application Filing Name" field. This can be a name of your choice.

- Open and complete all the mandatory and optional forms or documents. To complete a form, click to select the form, and then click the "Open" button. When you open a required form, the mandatory fields will be highlighted in yellow. If you enter incomplete information in a mandatory field, you will receive an error message or the field will turn red, indicating a change needs to be made.

- Mandatory forms include the: (1) Application for Federal Assistance (SF-424); (2) Assurances for Non-Construction Programs (SF-424B); and (3) Disclosure of Lobbying Activities (SF-LLL). These forms can also be viewed at *http://apply.grants.gov/agency/FormLinks?family=7*. Other mandatory forms are identified in Section IV.

- When you have completed a form or document, click the "Close Form" button at the top of the page. Your information will automatically be saved.

- Next, click to select the document in the left box entitled "Mandatory Documents." Click the "=>" button to move the form or document to the "Mandatory Completed Documents for Submission" box to the right.

- Some mandatory documents will require you to upload files from your computer. To attach a document, select the corresponding form and click "Open." Click the "Add Mandatory Attachment" button to the left. The "Attach File" box will open. Browse your computer to find where your file is located and click "Open." The name of that file will appear in the yellow field. Once this is complete, if you would like to attach additional files, click on the "Add Optional Attachment" button below the "Add Mandatory Attachment" button.

- An "Attachments" window will open. Click the "Attach" button. Locate the file on your computer that you would like to attach and click the "Open" button. You will return to the "Attach" window. Continue this process until you have attached all the necessary documents. You may attach as many documents as necessary.

- Once you have finished, click the "Done" button. The box next to the "Attach at Least One Optional Other Attachment" will now appear as checked.

- *Note:* the name of these buttons will vary depending on the name of the form you have opened at that time; i.e., Budget Narrative, Other Attachment, and Project Narrative File.

- To exit a form, click the "Close" button. Your information will automatically be saved.

Step 5: **Submitting the Application.**

Once you have completed all the yellow fields on all the forms and saved the application on your desktop, check the application package for errors. This can be done any time throughout step 4 above and as often as you like.

- When you are ready to submit your final application package, the "Submit" button at the top of your screen will be enabled. This button will not be activated unless all mandatory data fields have been completed. When you are ready to submit your application, click on "Submit." This will take you to a "Summary" screen.

- If your "Submit" button is not activated, then click the "Check Package for Errors" button at the top of the "Grant Application Package" screen. PureEdge Viewer will start with the first form and scan all the yellow fields to make sure they are complete. The program will prompt you to fix one error at a time as it goes through the scan. Once there are no more errors, the system will allow you to submit your application to *grants.gov.*

- Review the application summary. If you wish to make changes at this time, click "Exit Application" to return to the application package, where you can make changes to the forms. To submit the application, click the "Sign and Submit Application" button.

- This will take you to a "Login" screen where you will need to enter the user name and password that you used to register with *grants.gov* in "Step 1: Registering." Enter your user name and password in the corresponding fields and click "Login."

- Once authentication is complete, your application will be submitted. Print this confirmation screen for your records. You will receive an e-mail message to confirm that the application has been successfully uploaded into *grants.gov*. The confirmation e-mail will give you a *grants.gov* tracking number, which you will need to track the status of your application. The confirmation e-mail will go to the e-Business POC; therefore, if you are submitting on behalf of someone else, be sure the e-Business POC is aware of the submission and that a confirmation e-mail will be sent.

- When finished, click the "Close" button.

Step 6: **Tracking the Application.**

After your application is submitted, you may track its status through *grants.gov*. To do this, go to the *grants.gov* home page at *http://www.grants.gov*. At the very top of the screen, click on the "Applicants" link. Scroll down the "For Applicants" page and click the

"Login Here" button. Proceed to login with your user name and password that was used to submit your application package. Click the "Check Application Status" link to the top left of the screen. A list of all the applications you have submitted through *grants.gov* is produced. There four status messages your application can receive in the system:

- **Validated.** This means your application has been scanned for errors. If no errors were found, it validates that your application has successfully been submitted to *grants.gov* and is ready for the agency to download your application.

- **Received by Agency.** This means our agency DHS downloaded your application into our electronic Grants Management System (GMS) and your application is going through our validation process to be successfully received on our end.

- **Agency Tracking Number Assigned.** This means our GMS did not find any errors with your package and successfully downloaded your application into our system.

- **Rejected With Errors.** This means your application was either rejected by *grants.gov* or GMS due to errors. You will receive an e-mail from *grants.gov* customer support, providing details of the results and the next steps required. Most applications are rejected because: (1) a virus was detected; (2) you are using a user name and password that has not yet been authorized by the organization's e-Business POC; or (3) the DUNS number you entered on the SF-424 form does not match the DUNS number that was registered in the CCR for this organization.

If you experience difficulties at any point during this process, please call the *grants.gov* customer support hotline at 1–800–518–4726.

Appendix D
Investment Justification

A. Investment Justification Overview.

As part of the 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.

Eligible applicants may submit one application for funding of up to three investments. A separate Investment Justification must be submitted for each proposed project. Applicants should follow the format below for this file attachment.

Note: The Investment Justification must demonstrate the organization's ability 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.

B. Investment Justification Template.

IBSGP applicants must provide information in the following categories for each proposed investment:

1. Background;
2. Strategic and program priorities;
3. Impact;
4. Funding and implementation Plan.

Investment Heading	
State	
Bus System Name	
Urban Area(s) Served	
Investment Name	
Investment Phase	
Requested 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. It will also be used to confirm eligibility.

I.A. Identify the bus system and that system's point(s) of contact (POC) and Chief Executive Officer (CEO), as well as the POC and CEO for additional bus systems/partners.	
Word Limit	Not to exceed ½ page
Response Instructions	Identify the following: • POC's name and title; • POC's full mailing address; • POC's telephone number; • POC's fax number; • POC's email address; • CEO's name; • CEO's full mailing address; • CEO's telephone number; • CEO's email address; • POC and CEO information (as above) for additional bus systems/partners; and, • Include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.

I.B. Describe the extent of your operations in UASI jurisdictions. *(Note – this response will help DHS determine your eligibility to participate in the FY08 IBSGP.)*	
Page Limit	Not to exceed ¼ page
Response Instructions	Provide: • A list of UASI jurisdictions serviced; • *For charter services only*, the number of trips annually to each UASI jurisdiction (must be a minimum of 50 trips); and, • A source, such as a web site or brochure, which would allow DHS to verify service provided.

I.C. Describe the size of your fleet. *(Note – this response will help DHS determine the Tier in which you will compete for funding as part of the FY08 IBSGP.)*	
Page Limit	Not to exceed ¼ page
Response Instructions	Provide: • The number of over-the-road buses in your fleet; and, • A source, such as a web site or brochure, which would allow DHS to verify fleet size.

I.D. Describe your system infrastructure and scope of operations for fixed-route services and/or charter services.	
Page Limit	Not to exceed 2 pages

Response Instructions	**For fixed-route services,** address each of the following factors:
	   o System Infrastructure;
	   o Area of Operations;
	   o Number of Passengers (Annually);
	   o Number of Miles Driven (Annually);
	   o Number of Employees (Specify categories, such as drivers, administration, management, and mechanics);
	   o Description of Terminals/Bus Lots:
	      ➤ Number of Terminals/Bus Lots (Owned/Leased and Operated);
	      ➤ Location (street address and city) of each Terminal/Bus Lot (within which UASI jurisdiction it is located);
	   o Passenger Traffic for Each Terminal;
	   o Other tenants at Each Terminal (other bus companies);
	   o Any other important system features.
	For charter services, address each of the following factors:
	   o Company Infrastructure;
	   o Area of Operations;
	   o Number of Passengers (Annually);
	   o Number of Employees (Specify categories, such as drivers, administration, management, and mechanics);
	   o Description of Bus Lots:
	      ➤ Number of Bus Lots (Owned/Leased and Operated);
	      ➤ Location of each Bus Lot (within which UASI jurisdiction it is located); and,
	   o Any other important features of the charter service.

II. Strategic and Program Priorities

II.A. Provide a brief abstract for this investment.	
Page Limit	Not to exceed 1 page

Response Instructions	Provide a succinct statement summarizing this investment, addressing the following questions:
	
	  • What bus security risk will the project address?
	  • How will the investment address a transportation security need?
	  • How will the investment enhance overall system security?

II.B. Describe how the investment will address one or more of the Intercity Bus Security Fundamentals, as well as its relevance to the National Preparedness Guidelines and Target Capabilities List.	
Page Limit	Not to exceed 1 page
Response Instructions	- Describe how, and the extent to which, the proposed investment addresses one or more of the following: - Development of assessments or security plans - Operating and capital costs associated with over-the-road bus security awareness, preparedness, and response training, including training for front-line employees for potential security threats and conditions as well as training developed by institutions of higher education and by non-profit employee labor organizations, for over-the-road bus employees - Live or simulated exercises for the purpose of assessing and improving the capabilities of entities to prevent, prepare for, mitigate, respond to, and recover from acts of terrorism - Public awareness campaigns for enhanced over-the-road bus security. - Operational costs to hire, train, and employ police and security officers, including canine units, assigned to full-time security or counterterrorism duties related to over-the-road bus transportation, including reimbursement of State, local, and tribal government costs for such personnel - Modifying over-the-road buses to increase their security - Installing cameras and video surveillance equipment on over-the-road buses and at terminals, garages, and over-the-road bus facilities - Constructing and modifying terminals, garages, and facilities, including terminals and other over-the-road bus facilities owned by State or local governments, to increase their security - Establishing and improving an emergency communications system linking drivers and over-the-road buses to the recipient's operations center or linking the operations center to law enforcement and emergency personnel. - Implementing and operating passenger screening programs for weapons and explosives - Protecting or isolating the driver of an over-the-road bus - Chemical, biological, radiological, or explosive detection, including canine patrols for such detection - Acquiring, upgrading, installing, or operating equipment, software, or accessorial services for collection, storage, or exchange of passenger and driver information through ticketing systems or other means and for information links with government agencies, for security purposes - Overtime reimbursement, including reimbursement of State, local, and tribal governments for costs, for enhanced security personnel assigned to duties related to over-the-road bus security during periods of high or severe threat levels, National Special Security Events, or other periods of heightened security as determined by the Secretary of DHS ***Note: If this investment is for a facility security enhancement, you must identify the exact location of the facility.***

	• Regardless which priority above is addressed through the investment, ensure that your response includes a justification for your approach to accomplishing your goals and objectives. Provide an explanation that considers answering such questions as:
	  o Has a security assessment been conducted? If so, identify who conducted the assessment, when it was completed, and summarize the results;
	  o How does the proposed approach achieve the best possible balance of enhanced security and cost effectiveness available to your organization?
	  o Other unique, organization-specific factors leading to this project investment?
	• Describe how the proposed investment addresses one or more National Priorities within the National Preparedness Guidelines.
	• Describe how the proposed investment addresses one or more of the 37 Capabilities listed in the Target Capabilities List.

III. Impact

III.A. Describe how the project offers the highest risk reduction potential at the least cost.	
Page Limit	Not to exceed ½ page

Response Instructions	• Discuss the how the project will reduce risk in a cost effective manner.
	  o Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) by addressing the needs and priorities identified in earlier analysis and review; and,
	  o Identify the nature of the risk, why you consider it a 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).

III.B. Discuss the anticipated impacts of the investment in terms of your implementation metrics of success outputs and outcomes.	
Page Limit	Not to exceed ½ page
Response Instructions	• Outline the expected, high-level impacts this investment is expected to attain/achieve if implemented. • Explain at a high level how IBSGP funding will help achieve these impacts – briefly define your metrics of success in either: ○ *Outputs (i.e., X people will be trained as a result of this program), or* ○ *Outcomes (i.e., This training has been shown to increase X standard of preparedness by Y% and therefore we estimate that we will increase our baseline preparedness by Z% after the implementation of this project)*

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Page Limit	Not to exceed 1 page
Response Instructions	• Complete the chart below to identify the amount of funding that is being requested for <u>this investment only</u>; • Funds should be requested by allowable cost categories (as identified in the FY08 IBSG Program Guidance and Application Kit); • 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-FY08 IBSGP) 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 Appendix F of this document for a sample format.***

The following template illustrates how the applicants should indicate the amount of FY 2008 IBSGP funding required for the investment, how these funds will be allocated across the cost elements, and the required match:

	FY08 IBSGP Request Total	Match (Cash or In-Kind)	Grand Total
Facility Security Enhancements			
Enhanced Ticket Identification and Passenger Screening			
Vehicle and Driver Security Enhancements			
Emergency Communications			
Coordination with Local Police and Emergency Responders			
Training			
Exercises			
Development of Vulnerability Assessments/ Security Plans			
M&A			
Total			

IV.B.	Identify up to five (5) potential challenges to the effective implementation of this investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).
Page Limit	Not to exceed ½ page
Response Instructions	To identify potential challenges: • Consider the necessary steps and stages that will be required for successful implementation of the investment; • Identify areas of possible concern or potential pitfalls in terms of investment implementation; and, • Explain why those areas present the greatest challenge to a successful investment implementation. Identify the top challenges (up to 5): • For each identified challenge, provide a brief description of how the challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low); • The response should focus on the implementation only.

IV.C.	Discuss funding resources beyond FY08 IBSGP that have been identified and will be leveraged to support the implementation and sustainment of this investment, including matching resources.
Page Limit	Not to exceed ½ page
Response Instructions	- In addition to the required match, discuss other funding sources (e.g., non-IBSGP 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 beyond the required match, or if none are necessary, provide rationale as to why the requested FY08 IBSGP funding is sufficient for the implementation and sustainment of this investment.

IV.D.	Provide a high-level timeline, milestones and dates, for the implementation of this investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. Up to 10 milestones may be provided.
Page Limit	Not to exceed 1 page
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 to sufficiently describe the project; - Milestones are for this discrete investment – those that are covered by the requested FY08 IBSGP 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). - Examples of possible milestones: - Define kill switch implementation plan - Complete installation - Complete successful test of kill switches

C. Investment Justification Submission and File Naming Convention.

Applicants must use the following file naming convention when submitting required documents as part of the FY 2008 IBSGP.

Investment Justification (through *grants.gov* file attachment)
   Legal Name of Bus Company_IJ Number (Example: ABC Bus Lines_IJ#1)

Appendix E
FY08 Urban Areas Security Initiative Jurisdictions

FY 2008 Tier I Urban Areas*			
(CA)	Los Angeles/Long Beach Area	(NJ)	Jersey City/Newark Area
(CA)	Bay Area	(NY)	New York City Area
(DC)	National Capital Region	(TX)	Houston Area
(IL)	Chicago Area		
FY 2008 Tier II Urban Areas*			
(AZ)	Phoenix Area	(NV)	Las Vegas Area
(AZ)	Tucson Area	(NY)	Albany Area
(CA)	Riverside Area	(NY)	Buffalo Area
(CA)	Sacramento Area	(NY)	Rochester Area
(CA)	San Diego Area	(NY)	Syracuse Area
(CA)	Anaheim/Santa Ana Area	(OH)	Cincinnati Area
(CO)	Denver Area	(OH)	Cleveland Area
(CT)	Bridgeport Area	(OH)	Columbus Area
(CT)	Hartford Area	(OH)	Toledo Area
(FL)	Fort Lauderdale Area	(OK)	Oklahoma City Area
(FL)	Jacksonville Area	(OR)	Portland Area
(FL)	Miami Area	(PA)	Philadelphia Area
(FL)	Orlando Area	(PA)	Pittsburgh Area
(FL)	Tampa Area	(PR)	San Juan Area
(GA)	Atlanta Area	(RI)	Providence Area
(HI)	Honolulu Area	(TN)	Memphis Area
(IN)	Indianapolis Area	(TN)	Nashville Area
(KY)	Louisville Area	(TX)	Austin Area
(LA)	Baton Rouge Area	(TX)	Dallas/Fort Worth/Arlington Area
(LA)	New Orleans Area	(TX)	El Paso Area
(MA)	Boston Area	(TX)	San Antonio Area
(MD)	Baltimore Area	(UT)	Salt Lake City Area
(MI)	Detroit Area	(VA)	Richmond Area
(MN)	Twin Cities Area	(VA)	Norfolk Area
(MO)	Kansas City Area	(WA)	Seattle Area
(MO)	St. Louis Area	(WI)	Milwaukee Area
(NC)	Charlotte Area		

* Alphabetical placement does not equate to funding allocation.

Appendix F
Sample Budget Detail Worksheet

OMB Approval No. 1121-0188

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

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

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. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

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.

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., reproduction, 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	_____	_____
* TOTAL PROJECT COSTS	_____	_____

Federal Request _____

Non-Federal Amount _____

Detailed Budget Submission and File Naming Convention.

Applicants must use the following file naming convention when submitting required documents as part of the FY08 IBSGP.

Detailed Budget (through *grants.gov* file attachment)
   Legal Name of Bus Company_IJ Number_Budget (Example: ABC Bus Lines_IJ#1_Budget)

Appendix G
Award and Reporting Requirements

Prior to the transition to FEMA, the former Office of Grants and Training preparedness programs followed The Department of Justice's codified regulations, 28 CFR and the OGO Financial Management Guide. The former Office of Grants and Training is now within FEMA and all preparedness programs will follow FEMA's codified regulations, 44 CFR.

A. Grant Award and Obligation of Funds.

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the "award date."

Obligations are a legal liability to pay, under a grant, subgrant, or contract, determinable sums for services or goods incurred during the grant period. This includes, but is not limited to, amounts of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a given period that will require payment by the grantee during the same or a future period.

The period of performance is 36 months from the date of award. Any unobligated funds will be deobligated at the end of this 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. Post Award Instructions.

The following is provided as a guide for the administration of awards. Additional details and requirements may be provided to the grantee in conjunction with finalizing an award.

1. Review award and special conditions document. Notification of award approval is made by e-mail through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official. Follow the directions in the notification e-mail 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 e-mail, please contact your Preparedness Officer 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.

If you agree with the terms and conditions, the authorized grantee official should sign and date both the original and the copy of the award document page in Block 19 and initial the special conditions page(s). Retain a copy and fax the documents to (202) 786-9905 Attention: Control Desk or send the original signed documents to:

> **U.S. Department of Homeland Security/FEMA**
> **Grant Programs Directorate/Control Desk 4th Floor, TechWorld**
> **500 C St SW**
> **Washington, DC 20472**

If you do not agree with the terms and conditions, contact the Preparedness Officer named in the award package.

2. Complete and return SF1199A. The SF1199A Direct Deposit Sign-up Form is used to set up direct deposit for grant payments.   The SF1199A form can be found at: http://www.fema.gov/government/grant/administration.shtm.

NOTE: Please include your vendor number in Box C of the SF1199A form.

3. Access to payment systems. Grantees under this solicitation will use FEMA's online Payment and Reporting System (PARS) to request funds. The website to access PARS is *https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true*. Questions regarding payments or how to access PARS should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to *ask-OGO@dhs.gov*.

5. 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 PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

6. Questions about your award? A reference sheet is provided containing frequently asked financial questions and answers. Financial management questions regarding your award should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to *ask-OGO@dhs.gov*.

Note: If you have any questions about GMS, need to establish a GMS account, or require technical assistance with accessing your award, please contact the GMS Help Desk at (888) 549-9901.

C. Drawdown and Expenditure of Funds.

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can drawdown and expend grant funds through PARS.

Grant recipients should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grantees may elect to draw down funds up to 120 days prior to expenditure/ disbursement. FEMA strongly encourages recipients to draw down funds as close to expenditure as possible to avoid accruing interest.

Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements (Including Sub-awards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations (formerly OMB

Circular A-110). These regulations further provide that entities are required to promptly, but at least quarterly, remit interest earned on advances to:

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

The grantee may keep interest earned, up to $100 per fiscal year for administrative expenses. This maximum limit is not per award; it is inclusive of all interest earned on all Federal grant program funds received.

Although advance drawdown requests are permissible, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 CFR Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds for program purposes.

D. Reporting Requirements.

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.

> *Required submission: Financial Status Report (FSR) SF-269a (due quarterly).*

2. Categorical Assistance Progress Report (CAPR). Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. 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 on 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. The final CAPR is due 90 days after the end date of the performance period.

Block #12 of the CAPR should be used to note progress against the proposed project. The grantor agency shall provide sufficient information to monitor program implementation and goal achievement. At a minimum, reports should contain the following data: (1) As applicable, the total number of items secured under this grant (e.g., access controls, surveillance, physical enhancements, and vessels) to date, and (2) for other items acquired through this grant, a brief description and total number of items obtained to date.

CAPRs must be filed online through the internet 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 critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at *http://www.hseep.dhs.gov*. 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 FEMA within 60 days following completion of the exercise.

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

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 IBSGP 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 State 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.

5. Federal Funding Accountability and Transparency Act. While there are no State and Urban Area requirements in FY08, the Federal Funding Accountability and Transparency Act of 2006 may affect State and Urban Area reporting requirements in future years. The Act requires the Federal government to create a publicly searchable online database of Federal grant recipients by January 1, 2008 with an expansion to include sub-grantee information by January 1, 2009.

6. National Preparedness Reporting Compliance. The Government Performance and Results Act (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. DHS anticipates using this information to inform future-year grant program funding decisions.

E. Monitoring.

Grant recipients will be monitored periodically by FEMA 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. 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.

F. Grant Close-Out Process.

Within 90 days after the end of the award period, SAAs 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 Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. After the financial information is received and approved by GPD, the grant will be identified as "Closed by the Grant Programs Directorate."

> ***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.***

Appendix H
Additional Resources

This Appendix describes several resources that may help applicants in completing this application.

1. Centralized Scheduling & Information Desk (CSID) Help Line. The 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. The CSID provides general information on all FEMA preparedness grant programs and information on the characteristics of CBRNE, agro-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources.

The 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. The CSID can be contacted at 1-800-368-6498 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.

For financial and administrative guidance, all state and local government grant recipients should refer to 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Institutions of higher education, hospitals, and other non-profit organizations should refer to 2 CFR Part 215 for the applicable uniform administrative requirements.

Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to *ask-OGO@dhs.gov*.

3. GSA's Cooperative Purchasing Program. 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
  Section 211 of the E-Government Act of 2002, authorized GSA sales of Schedule 70 IT products and services to State and Local Governments through the introduction of Cooperative Purchasing. The Cooperative Purchasing program allows State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing is authorized by

Federal law and was enacted when Section 211 of the E-Government Act of 2002 amended the Federal Property and Administrative Services Act.

Under this program, State and local governments have access to over 3,500 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 the GSA to provide State and Local governments the use of ALL Federal Supply Schedules of the GSA 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.*

In the aftermath of emergency events, State or local governments' systems may be disrupted. Thus, use of Federal Supply schedule contracts prior to these events to acquire products or services to be used to facilitate recovery is authorized. State or local governments will be responsible for ensuring that purchased products or services are to be used to facilitate recovery.

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 eligible 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* to find the point of contact in your area. For assistance at the national level, contact Tricia Reed *at* patricia.reed@gsa.gov*, 571-259-9921.* More information is available at *http://www.gsa.gov/cooperativepurchasing* and *http://www.gsa.gov/disasterrecovery*.

4. Exercise Direct Support. DHS has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to States and local jurisdictions in accordance with State Homeland Security Strategies and HSEEP. Contract support is available to help States conduct an Exercise Plan Workshop, develop a Multi-year Exercise Plan and build or enhance the capacity of States and local jurisdictions to design, develop, conduct, and evaluate effective exercises.

In FY 2008, States may receive direct support for three exercises: one Training & Exercise Plan Workshop (T&EPW); one discussion-based exercise; and one operations-based exercise. While States are allowed to submit as many direct support applications as they choose, they are strongly encouraged to give careful thought to which exercises will require the additional assistance that will be provided through the direct support program. Exercises involving cross-

border or mass-gathering issues will be counted against the number of direct-support exercises being provided to States.

Applications for direct support are available at *http://hseep.dhs.gov* and are reviewed on a monthly basis. The Homeland Security Exercise and Evaluation Program offers several tools and resources to help design, develop, conduct and evaluate exercises.

Appendix I
Vulnerability Assessment and Security Plan Certification Form

Operators that have already completed vulnerability assessments and developed security plans can use this form as their certification, and submit it as part of their grant application. For operators that request funds for those purposes, this form must be submitted upon request.

I, [insert name], as [insert title] of [insert name of bus company], certify that a vulnerability assessment has been completed and a security evaluation preparedness plan has been developed or updated for my company within the last three years.

_____

Signature   Date