Office of Grants and Training
Preparedness Directorate
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Homeland Security

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TO: All State Administrative Agency Heads
All State Administrative Agency Points of Contact
All State Homeland Security Directors
Transit Security Chiefs

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SUBJECT: FY 2006 Transit Security Grant Program Tier I

**Note: This Information Bulletin only applies to States with transit systems eligible under Tier I of the Fiscal Year 2006 Transit Security Grant Program (TSGP).*

The purpose of this Information Bulletin is to provide additional guidance to State Administrative Agencies (SAAs) and eligible transit systems receiving Tier 1 Transit Security Grant Program (TSGP) funding. This Information Bulletin is intended to build on the guidance provided in the TSGP Program Guidelines and Application Kit, and supplement guidance contained in Information Bulletin #214 as it relates to the development and submission of project plans for these Tier 1 grantees.

As a reminder, eligible Rail and Intracity bus systems in Tier 1, and all eligible Ferry systems, **are allowed to submit up to ten (10) project plans per system and up to five (5) regional project plans**. Each project plan must be submitted through the applicable State Administrative Agency (SAA) and must not exceed **five (5) pages (not including the project budget). These project plans must be submitted within 90 days of the award of the grants.**

Each project plan must contain the following sections:

- Project Abstract
- Project Description
- Project Timelines/Milestones
- Project Budget

Attachments 1 and 2 provide additional, updated guidance on specific information to be included in each section. The project plans must demonstrate the organization's ability to provide

tangible, physical security enhancements consistent with the purpose of the program and guidance provided. Attachment 3 lists Fundamental Security Principles which should guide the development of the project plans. SAAs must ensure that project plans are consistent with all applicable requirements outlined in the posted application kit and in this Information Bulletin. The SAA is responsible for submitting ALL project plans for each Tier 1 region as a group and certifying that this submission represents the final submission for the region. Project plans must be submitted through the G&T secure portal located at: https://odp.esportals.com.

TSA and G&T are available to meet with SAAs and regions to further clarify these priorities and to address any questions. Additionally, regions and transit systems are invited to submit drafts of their project plans through the SAA via the G&T secure portal by December 1, 2006. Each region and transit system will have the same opportunity to receive feedback. Feedback is not a guarantee for project funding. TSA and G&T will review the drafts and will attempt to provide feedback to the interested parties by December 15, 2006, based on considerations of volume and resources. TSA and G&T will not rewrite or edit the draft. Applicants are encouraged to make these submissions early.

Final project plans must be submitted to G&T through the SAA for consideration. Questions on this information bulletin may be directed to the G&T Centralized Scheduling and Information Desk at askcsid@dhs.gov or 1-800-368-6498.

Attachment 1: Project Plan/Concept Paper Template

All eligible Rail and Intracity Bus systems in Tier 1 and all eligible Ferry systems may submit no more than ten (10) project plans per system and no more than five (5) regional project plans. Each project plan must be submitted through the applicable SAA and should not exceed five (5) pages (not including the project budget).

All Tier 1 project plans should follow the format below:

Project Abstract

- Provide a succinct statement summarizing your project.

Project Description

- Define the vision, goals, and objectives for the risk reduction, as well as how the proposed project will fit into an overall effort to meet critical infrastructure security priorities (including integration into existing security protocols);
- Describe the specific needs and/or resource limitations that need to be addressed;
- Identify any potential partners and their roles and staffing requirements, and provide information on any existing agreements such as Memorandums of Understanding (MOU);
- Indicate how the project addresses one or more of the National Security Priorities Specific to the Intracity Rail, Intracity Bus or Ferry Sectors;
- Describe how the project supports the Regional Transit Security Strategy (RTSS), the Urban Area Homeland Security Strategy, and/or the State Homeland Security Strategy;
- *Identify specific equipment needs (e.g., number of facility cameras, number of security lights, amount of security fencing, etc.) and other details for training, awareness, exercises, and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed awareness materials, number of agencies and staff members involved in exercise planning, execution, and review);*
- Describe the overall cost effectiveness of the project;
- Describe resources that are being dedicated to the project by the agency or region to include funding and staffing, if applicable;
- Describe progress made on the security project that this project will be completing, if applicable;
- *Reference use of previous years grant funds, if applicable;*
- Address sustainability of the project without additional Federal funds; and,
- Describe the security related impact if you do not receive funding for this project.

Project Timelines/Milestones

- Outline the major project tasks and milestones from time of award until project completion (the project period may not exceed 30 months); and,
- For each task, provide:
    - Short description of the task (not just a milestone title);
    - Start date;
    - Duration;
    - Individual or organization responsible for the task; and,
    - Description of how funds will be used to complete the task.

Project Budget

- Provide a breakdown of all costs and expenses (see Attachment 2 for recommended format).

The factors that will be considered in the evaluation of the project plans for Tier I Intracity Bus and Rail systems are:

- ***Security Priorities***
    - *Projects will be evaluated on the extent to which they address the specific security priorities as outlined in the grants guidance documents. Sample project types are provided in tables on the next page.*
- ***Cost effectiveness***
    - Projects will be evaluated on the expected impact on security relative to the investment.
- ***Ability to reduce risk of catastrophic events***
    - Projects will be evaluated on their ability to reduce risk.
- ***Sustainability without additional Federal funds and leveraging of other funding***
    - Projects will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance. Projects will also be evaluated on the willingness of the applicant to provide a cash match or operational equivalent regardless of amount and source. (Note: Projects will be considered regardless of whether there is a match or not.)
- ***Relevance to National Preparedness Goal and National Strategy for Transportation Security***
    - Projects will be evaluated on the extent to which they incorporate capabilities and priorities outlined in major preparedness and transportation security documents developed by DHS.
- ***Relevance to the Regional Transit Security Strategy, Urban Area Homeland Security Strategy and State Homeland Security Strategy (if applicable)***
    - Projects will be evaluated on the extent to which they support regional homeland security planning efforts.
- ***Innovativeness of solution***
    - Projects will be evaluated on the novelty of the proposed solution. Preference on this factor will be given to projects offering a new or innovative approach to the security challenge being addressed.
- ***Timelines***
    - Projects will be evaluated on the ability of the applicant to complete the proposed project within submitted timeframes.

Sample Project Types for Intracity Rail Systems
Security measures that provide protection of underwater and other deep bore tunnels and associated track mileage from attacks employing IEDs. *This includes activities such as employee and passenger awareness campaigns, as well as explosives detection systems, surveillance cameras and monitoring systems, and intrusion detection systems.*
Development and enhancement of capabilities to prevent, detect, and respond to terrorist attacks employing improvised explosive devices. Capabilities to protect other assets besides tunnels should focus on passenger trains, stations with high passenger throughput thru major urban areas, large rail yards, operations control centers, and high profile, high volume transit and rail bridges and tunnels.
Mitigation of other high consequence risks identified through individual transit system risk assessments. This also includes specific action items for transit system readiness established by Federal Transit Administration (FTA).
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.
Facility security enhancements that focus on lighting, fencing, securing gates, door access codes, cameras(inside/outside critical infrastructures only), CCTV, etc.
Training and Exercises that focus on domain awareness and participating in exercises to coordinate and prepare for an incident or attack. *Attendance/participation in/hosting existing behavioral screening, anti-terrorism, anti-hijacking, and awareness training programs approved by G&T.*

Sample Project Types for Intracity Bus Systems
Inventory Control improvements such as ignition key-recognition systems, *driver authentication systems (e.g., numeric keypads and passwords, biometric readers, etc.) for operation of buses, covert panic buttons (including panic buttons that covertly activate and transmit real time sound within the bus to a central command center)* and remote tracing *(i.e. AVL and GPS)* /shut-down capabilities. Development and enhancement of capabilities to minimize the threat of intracity buses as a weapon.
Increased perimeter security at intracity bus depots, *yards, bases, terminals, and maintenance facilities*. Enhancement of access control at areas of storage to deter the use of intracity buses as a vehicle borne IED.
Training and Awareness of intracity bus operators and employees. Development of programs that cover the detection and deterrence of efforts by terrorists to use intracity buses as a means to attack critical infrastructure and key resources. Enhancement of current efforts to deter attacks on the bus as the end target.
Emergency response and preparedness capabilities in the event an intracity bus is attacked or used as a weapon. Development of these capabilities to deter the use of the intracity bus to inflict damage on critical infrastructure.
Implementation of technology-driven surveillance. Technology-driven surveillance (e.g. CCTV) at intracity bus facilities *(e.g., depots, yards, bases, terminals, and maintenance facilitites)* to increase the effectiveness of other detection and deterrence measures ***(onboard cameras are not considered a priority for the FY 2006 grants)***.
Detection and recognition of suspicious activity and behavior patterns. *Attendance/participation in/hosting existing behavioral screening, anti-terrorism, anti-hijacking, and awareness training programs approved by G&T.*

Attachment 2: Suggested Project Budget Format

This Budget Detail Worksheet may be used as a guide to assist you in the preparation of your project budget. You may submit the budget 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 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**

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**	**Computation**	**Cost**

TOTAL _____

D. Equipment - List and briefly describe (manufacturer name, where available) non-expendable items that are to be purchased (including the quantity, cost per unit, and proposed unit location if project covers more than one facility, vehicle, or structure). 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.

Item	**Computation**	**Cost**

TOTAL _____

E. 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

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

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

Subtotal _____

TOTAL _____

F. 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	**Amount**	**Match (Indicate Cash or In-kind)**
A. Personnel	_____	_____
B. Fringe Benefits	_____	_____
C. Travel	_____	_____
D. Equipment	_____	_____
E. Consultants/Contracts	_____	_____
TOTAL DIRECT COSTS	_____	_____
F. Indirect Costs	_____	_____
TOTAL PROJECT COSTS	_____	_____

Total Federal Amount: _____

Total Match: _____

Note: Cost-sharing is not a program requirement under the FY 2006 TSGP. However, if matching funds are offered as part of the project, applicants are advised that an award recipient is responsible for meeting the matching funds reflected in an approved grant budget.

Attachment 3: Fundamental Security Principles

The following paragraphs present fundamental security principles that should guide transit agencies in project planning.

Protection of high risk/high consequence underwater/underground assets and systems. Development and enhancement of capabilities to prevent, deter, detect, and respond to terrorist attacks employing IEDs. IEDs pose a threat of great concern to transit systems across the nation. They have historically been the terrorist weapon of choice because they combine a high degree of effectiveness with minimal cost. Transit systems may use TSGP funding for hardening of critical assets and systems, to acquire equipment and implement training, for prevention activities, and for response programs that integrate technological solutions to mitigate security vulnerabilities, such as explosives detection systems, surveillance cameras and monitoring systems, and intrusion detection systems. Integrated in this way, security technologies can reduce the burden on overtaxed security manpower resources.

Protection of other high risk/high consequence assets and systems that have been identified through system-wide risk assessments. It is imperative that transit agencies focus countermeasure resources on their highest risk, highest consequence areas or systems. As with mitigation efforts for underwater assets and systems, transit agencies may use TSGP funding for hardening of critical assets and systems, to acquire equipment and implement training, for prevention activities , and for response programs that integrate technological solutions to mitigate security vulnerabilities, such as explosives detection systems, surveillance cameras and monitoring systems, and intrusion detection systems. Integrated in this way, security technologies can reduce the burden on overtaxed security manpower resources.

Use of visible, unpredictable deterrence. Visible and unpredictable security activities instill confidence and comfort in the riding public, yield an increase in suspicious activity reporting, and deter attacks by disrupting the ability to plan and orient preparatory activities. TSGP funding may be used to obtain the resources and tools that enhance the effectiveness of these types of security activities. Examples include the acquisition, training, certification, and maintenance of explosives detection canine teams; training of law enforcement, security officials, and front-line employees in behavioral pattern recognition; training in and procurement of mobile detection or screening equipment to identify the presence of explosives or their residue and other suspicious items on persons or in packages. These tools enable security patrols and front line employees to intervene more effectively in seeking to detect and deter terrorist surveillance and preparatory actions.

Targeted counter-terrorism training for key front-line staff. The employee training program must address individual employee responsibilities and provide basic security awareness to front line employees, including equipment familiarization, assessing and reporting incident severity, appropriate responses to protect self and passengers, use of protective devices, crew communication and coordination, and evacuation procedures.

Emergency preparedness drills and exercises. In order to assess and enhance the system's capability to respond under the variety of security scenarios that could reasonably be expected to occur in its operation, the emergency drill and exercise program must test operational protocols that the system plans to implement in the event of a terrorist attack (specifically an IED or CBRN device), natural disaster or other emergencies, and consist of live situational exercises involving various threat and disaster scenarios, table top exercises, and methods for implementing lessons learned.

Public awareness and preparedness campaigns. The public awareness and preparedness program must employ announcements, postings in stations and transit vehicles, or other media to ensure awareness of heightened alert or threat conditions, and of actions the public can take to contribute to enhanced system security.