U.S. DEPARTMENT OF HOMELAND SECURITY

Office of State and Local Government Coordination and Preparedness

Office for Domestic Preparedness

Fiscal Year 2005 Intercity Passenger Rail Security Grant Program

Program Guidelines and Application Kit

U.S. DEPARTMENT OF HOMELAND SECURITY

Foreword

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

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

ODP has designed this program in coordination with Federal partner agencies and industry, including the Transportation Security Administration (TSA) within DHS, the Federal Railroad Administration (FRA) and the Federal Transit Administration (FTA) within the Department of Transportation, Amtrak, the American Public Transportation Association and the Association of American Railroads (AAR). The FY 2005 IPRSGP specifically focuses on enhancing security along Amtrak's Northeast Corridor (service between Washington, DC and Boston, Massachusetts) and at its hub in Chicago, Illinois. These represent the most highly traveled passenger rail routes in the nation.

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

Michael Chertoff
Secretary
Department of Homeland Security

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A. Eligible Applicants

The FY 2005 Department of Homeland Security (DHS) Appropriations Act provided funds for a discretionary grant program to address security enhancements for intercity passenger rail transportation. As defined in 49 U.S.C. § 24102, intercity passenger rail transportation is rail passenger transportation, except commuter rail passenger transportation. Commuter rail security is being addressed separately through the FY 2005 Transit Security Grant Program.

As part of the FY 2005 IPRSGP, the Department will partner with Amtrak, the major national passenger railroad, to develop security enhancements for intercity passenger rail operations along Amtrak's Northeast Corridor (service between Washington, DC, and Boston, Massachusetts), and at its hub in Chicago, Illinois. ***Amtrak is the only entity eligible to apply for funding under the FY 2005 IPRSGP.***

B. Funding Availability

Through the IPRSGP, DHS will provide ***$6,373,730.00*** to Amtrak for the protection of critical infrastructure and emergency preparedness activities. This funding will be provided directly to Amtrak in the form of a grant.

II. Overview

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

A. Program Overview

The FY 2005 IPRSGP provides financial assistance to Amtrak for the protection of critical infrastructure and emergency preparedness activities in the Northeast Corridor (service between Washington, DC and Boston, Massachusetts) and at its hub in Chicago, Illinois. *Allowable costs comport with the FY 2005 ODP Homeland Security Grant Program, and the expenditure of FY 2005 funding must directly support a risk-based Security and Emergency Preparedness Plan (SEPP) and must be coordinated with the Regional Transit Security Strategies (RTSS) being developed in the National Capitol Region, Philadelphia, New York, Boston and Chicago. To facilitate this coordination, Amtrak must provide a representative to the Regional Transit Security Working Groups (RTSWGs) responsible for the development of the RTSS in these areas. Amtrak must also provide written certification that each applicable State Administrative Agency (SAA) concurs that the required coordination with the RTSS has occurred.*

III. Program and Application Requirements

A. General Program Requirements

Amtrak will be responsible for administration of the award. In administering the award, Amtrak must comply with the following requirements:

1. **Describe the Agency.** As part of the application process, Amtrak must include a program narrative that identifies specific point(s) of contact (POC) to work with ODP on the implementation of the FY 2005 IPRSGP. The program narrative should also include a description of Amtrak's operating system, including infrastructure, ridership, the number of track miles, types of service and other important features, as well as a system map, a description of the geographical borders of the system and the cities and counties served, and a description of other sources of funding being leveraged for security enhancements. *In addition, the program narrative should address the Amtrak's <u>current</u> prevention[1], detection and response capabilities relative to improvised explosive devices (IEDs), as well as chemical, biological, radiological and nuclear devices (including sensors, canine units, etc.).*

2. **Conduct a Risk Assessment**. With the support of ODP's Mass Transit Technical Assistance Program (MTTAP), Amtrak will be required to conduct a risk assessment of the Northeast Corridor and Chicago hub area. ODP has provided similar assistance to most of the major transit agencies whose systems overlap with Amtrak's Northeast Corridor and Chicago hub area. ODP will work with Amtrak to leverage the work already accomplished in these areas and ensure integration between Amtrak's security enhancements and the regional planning process required by the FY 2005 TSGP. *This assessment must be provided to ODP.*

3. **Develop a Security and Emergency Preparedness Plan (SEPP).** Amtrak must have a current (updated within the past year), comprehensive plan that provides written policies and procedures to guide activities for homeland security and emergency preparedness for intercity passenger rail transportation. *The SEPP should specifically identify how Amtrak intends to address any shortfalls in IED and other prevention, detection and response capabilities. The Security and Emergency Preparedness Plan must serve as the basis*

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

for proposed allocations of grant funding. This plan must also be provided to ODP.

4. **Coordinate with Applicable Regional Transit Security Planning Efforts.** Transit agencies participating in the Fiscal Year 2005 TSGP are required to develop Regional Transit Security Strategies in conjunction with the states and urban areas they serve. As part of the FY 2005 IPRSGP, Amtrak is required to demonstrate that its planning process and allocation of funds are fully coordinated with these regional planning efforts in the National Capitol Region, Philadelphia, New York, Boston and Chicago. To facilitate this coordination, Amtrak must provide a representative to RTSWGs responsible for the development of the RTSS in these areas. This will ensure more seamless planning and avoid duplicative security enhancement investments. ODP will work with Amtrak to facilitate integration with the RTSWGs in these urban areas. *Amtrak must also provide written certification that each SAA concurs that such coordination with the Regional Transit Security Strategies has occurred.*

5. **Grant Funds.** *Up to <u>30%</u> of the funds available through the FY 2005 IPRSGP will be available to assist Amtrak in meeting its most pressing security needs in the Northeast Corridor and Chicago (as identified through previously conducted site-specific assessments) prior to completion of the risk assessment. However, in order to allocate these funds, Amtrak must provide written certification that it has coordinated these expenditures with the applicable SAAs (see Appendix A for <u>required</u> template). The remainder of these funds will be released upon completion of the risk assessment and submission of the SEPP. A maximum of <u>3%</u> of federal funds may be used for administrative costs.*

B. Specific Program Requirements

For purposes of the FY 2005 IPRSGP, intercity passenger rail transportation is defined as rail passenger transportation, except commuter rail passenger transportation (49 U.S.C. §24102). *When conducting the risk assessment and developing the Security and Emergency Preparedness Plan, specific attention must be paid to the prevention, detection, and response to incidents involving IEDs. IEDs pose a threat of great concern to rail transportation systems across the nation. IEDs have historically been the terrorist weapon of choice because they combine a high degree of effectiveness with minimal cost. Grantees should leverage FY 2005 IPRSGP funding to develop capabilities to prevent, detect and respond to IED terrorist attacks. In addition, specific attention must also be paid to prevention, detection and response capabilities related to chemical, biological, radiological and nuclear devices.*

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

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

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

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

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

C. General Application Requirements

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

1. Application Process

Amtrak must apply for FY 2005 funding through GMS at https://grants.ojp.usdoj.gov/. The application must be received by ODP no later than *May 6, 2005.*

2. On-Line Application

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

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

This grant is offered by the U.S. Department of Homeland Security, Office for Domestic Preparedness. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "Rail and Transit Security Grant Program.*"* The CFDA number is **97.075.** When completing the on-line application, Amtrak should identify its submission as a new, non-construction application. The project period will be for a period not to exceed **30 months**.

3. Program Narrative

As part of the application, Amtrak must include a program narrative that identifies specific point(s) of contact (POC) at the agency to work with ODP on the implementation of the FY 2005 IPRSGP. The program narrative should also include a description of the agency's operating system, including infrastructure, ridership, the number of track miles, types of service and other important features, as well as a system map and description of the geographical borders of the system and the cities and counties served, and a description of other sources of funding being leveraged for security enhancements. ***In addition, the program narrative should address the system's <u>current</u> and <u>required</u> prevention, detection and response capabilities relative to IEDs, as well as chemical, biological, radiological and nuclear devices (including sensors, canine units, etc.). This information may be provided using one of the attachment fields within the on-line GMS application.***

4. Risk Assessment

As part of the application process, Amtrak is required to conduct a risk assessment as described above in *Section A*. ***An electronic copy of the risk assessment must be provided via the ODP secure portal at:***

https://odp.esportals.com/

Note: Additional guidance on how to use the secure portal for this purpose will be provided shortly. Awards will be special conditioned to prohibit the draw down of up to 70 percent of the funds until a copy of the risk assessment is received.

5. Security and Emergency Preparedness Plan (SEPP)

Amtrak is required to develop a Security and Emergency Preparedness Plan as described above in *Section A*. ***If a SEPP has not been developed and implemented, funds will not be released. An electronic copy of the SEPP must be provided via the ODP secure portal at:***

https://odp.esportals.com/

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

6. Certification Regarding Coordination with Regional Planning Efforts

As part of the application process, Amtrak must certify that its SEPP and the proposed allocation of funds received through the FY 2005 IPRSGP have been coordinated with the Regional Transit Security Strategies in the National Capitol Region, Philadelphia, New York, Boston and Chicago. ***A copy of the required certification form is contained in Appendix A. Once all applicable signatures have been obtained, this form must be faxed to ODP at: (202) 786-9930.***

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

7. Use of a Universal Identifier by Grant Applicants.

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

8. Freedom of Information Act (FOIA)

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

9. Single Point of Contact (SPOC) Review

Executive Order 12372, which can be found at http://www.archives.gov/ federal_register/codification/executive_order/12372.html, requires applicants from state and local units of government or other organizations providing services within a state to submit a copy of the application to the state SPOC, if one exists and if this program has been selected for review by the state. Applicants for funding must contact their state SPOC to determine if the program has been selected for state review. The date that the application was sent to the SPOC, or the reason such submission is not required, should be provided as part of the on-line application.

10. Financial Requirements

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

- ➢ **Match Requirement:** There is no match requirement for this program; however, cost sharing is encouraged. For further information on allowable sources and types of funds, timing of match contributions and records for match, please consult the *OJP Financial Guide*, Chapter 3 available at: http://www.ojp.usdoj.gov/FinGuide/.

- ➢ **Assurances:** The on-line GMS application includes a list of assurances that the applicant must comply with in order to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding

of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

➢ **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement);* 28 CFR part 69, *New Restrictions on Lobbying;* and 28 CFR part 83 *Government-wide Requirements for Drug-Free Workplace (Grants).* All of these can be referenced at: http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html.

The certification will be treated as a material representation of the fact upon which reliance will be placed by DHS in awarding grants.

➢ **Suspension or Termination of Funding:** DHS, by written notice, may terminate this grant, in whole or in part, when it is in the Government's interest.

11. Drawdown and Expenditure of Funds.

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

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

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

For example, for the month of September, the last day to request (draw down) payments will be September 23, 2004. Payments requested after September 23, 2004 will be processed when the regular schedule resumes on October 1, 2004. A similar schedule will follow at the end of each month thereafter.

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

D. Allowable Cost Guidance

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

1. Management and Administration (M&A) Costs

The FY 2005 IPRSGP provides for coverage of M&A costs. No more than ***3% of the total award amount*** may be used by Amtrak for management and administrative (M&A) purposes.

2. Construction and Renovation

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

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

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

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

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

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

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

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

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

3. Hiring

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

4. Overtime, Backfill, and Hiring Guidance

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

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

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

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

Grantees are permitted to hire or laterally move existing public safety officers to new positions that support program activities that are allowable under FY05 IPRSGP program guidance. In the case of lateral transfers, grant funds may be used to support only those positions that are allowable under FY05 IPRSGP program guidance; all nonsupplanting rules apply. Grant funds may **not** be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

Positions created and/or funded through ODP grants may continue to be supported with future year funding provided that the position is dedicated to the same or similar purposes allowable under applicable ODP program guidance.

E. Other Guidance

1. Services to Limited English Proficient (LEP) Persons

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

IV. Additional National Preparedness Initiatives

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

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

A. National Incident Management System

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

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

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

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

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

Grantees should support NIMS implementation by:

➢ **Having relevant personnel complete the NIMS Awareness Course: "National Incident Management System (NIMS), An Introduction" IS 700.** This independent study course is available on-line and will take between forty-five minutes to three hours to complete. The course is available on the Emergency Management Institute web page at:

http://training.fema.gov/EMIWeb/IS/is700.asp

➢ **Formally recognizing NIMS and adopting NIMS principles and policies.** The NIC will provide sample language and templates to assist in formally adopting NIMS through legislative and/or executive/administrative means.

➢ **Establish a NIMS baseline by determining which NIMS requirements are already satisfied.** The NIC is developing a web-based self-assessment system, the NIMS Capability Assessment Support Tool (NIMCAST) to evaluate their incident response and management capabilities. The NIC is currently piloting the NIMCAST with a limited number of states. Upon completion of the pilot, the NIC will provide all potential future users with voluntary access to the system. Additional information about the NIMCAST tool will be provided later this year.

➢ **Establishing a timeframe and developing a strategy for full NIMS implementation.** Grantees are encouraged to achieve full NIMS implementation during FY 2005. To the extent that full implementation is not possible during FY 2005, federal preparedness assistance must be leveraged to complete NIMS implementation in FY 2006. By FY 2007, federal preparedness assistance will be conditioned upon full compliance with NIMS.

➢ **Institutionalizing the use of the ICS.** Grantees that are not already using ICS, must institutionalize the use of ICS (consistent with the concepts and principles taught by DHS) across the entire response system.

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

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

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

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

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

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

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

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

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

Critical Capabilities

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

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

C. Public Awareness and Citizen Participation

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

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

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

> **Expand plans and task force memberships to address citizen participation.** Develop or revise plans, such as SEPPs, to integrate citizen/volunteer resources and participation, and include advocates for increased citizen participation in task forces and advisory councils.

> **Awareness and outreach to inform and engage the public.** Educate the public on personal preparedness measures, terrorism awareness, alert and warning systems, and state and local emergency plans via a range of community venues and communication channels.

> **Include citizens in training and exercises**. Provide emergency preparedness and response training for citizens, improve training for emergency responders to better address special needs populations, and involve citizens in all aspects of

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

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

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

D. Transit Safety and Security Roundtables

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

V. Assistance Resources and Support

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

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

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

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

B. Homeland Security Preparedness Technical Assistance Program

The Homeland Security Preparedness Technical Assistance Program (HSPTAP) makes technical assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations for enhancing their capacity and preparedness to respond to weapons of mass destruction (WMD) terrorist incidents. In addition to the risk assessment assistance already being provided, ODP also offers a variety of other technical assistance programs. Further information on the HSPTAP can be found in Appendix G of this document, on ODP's web site at http://www.ojp.usdoj.gov/odp/ta.htm under the *Catalog* link, or by contacting the CSID.

C. Homeland Defense Equipment Reuse Program

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

D. Equipment Purchase Assistance Program

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

E. Lessons Learned Information Sharing (LLIS) System

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

VI. Reporting, Monitoring and Closeout Requirements

A. Reporting Requirements

The following reports are required of all program participants:

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

Obligations and expenditures must be reported to ODP on a quarterly basis through the FSRs, which are due within 45 days of the end of each calendar quarter. A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs. OJP OC will provide a copy of this form in the initial award package. ***Future awards and fund draw downs will be withheld if these reports are delinquent.***

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

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

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

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

3. Exercise Evaluation and Improvement

Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at http://www.ojp.usdoj.gov/odp/docs/HSEEPv2.pdf. 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 ODP support (grant funds or

direct support) and submitted to ODP within 60 days following completion of the exercise.

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

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

4. Financial and Compliance Audit Report

Recipients that expend $500,000 or more of federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting 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/index.html. Audit reports are currently due to the Federal Audit Clearinghouse no later than 9 months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2005 IPRSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the grant.

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

B. Monitoring

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

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

C. Grant Close-out Process

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

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

APPENDIX A

CERTIFICATION TEMPLATES

Certification Regarding Coordination with Regional Planning Efforts

As part of the application process, Amtrak must certify (see template below) that its SEPP and the proposed allocation of funds received through the FY 2005 IPRSGP have been coordinated with the Regional Transit Security Strategies in the National Capitol Region, Philadelphia, New York, Boston and Chicago. ***Once all applicable signatures have been obtained, this form must be faxed to ODP at: 202-786-9930. Note: Awards will be special conditioned to prohibit the draw down of funds until this certification is received.***

Certification Template

On behalf of the SAAs for the National Capitol Region, Pennsylvania, New York, Massachusetts and Illinois, the signatures below certify that Amtrak's SEPP, and the proposed allocation of FY 2005 IPRSGP funds, have been coordinated with the Regional Transit Security Strategies being developed in the National Capitol Region, Philadelphia, New York, Boston and Chicago as part of the FY 2005 UASI TSGP.

1. Washington, DC

    Name of Authorized Representative: _____

    Title: _____

    Signature: _____

    Date: _____

2. Pennsylvania

    Name of Authorized Representative: _____

    Title: _____

    Signature: _____

    Date: _____

3. New York

    Name of Authorized Representative: _____

    Title: _____

    Signature: _____

    Date: _____

4. Massachusetts

    Name of Authorized Representative: _____

    Title: _____

    Signature: _____

    Date: _____

5. Illinois

    Name of Authorized Representative: _____

    Title: _____

    Signature: _____

    Date: _____

APPENDIX B

AUTHORIZED PROGRAM EXPENDITURES

Authorized Program Expenditures

This appendix serves as a guide for program expenditure activities. Amtrak is encouraged to contact their ODP Program Manager regarding authorized and unauthorized expenditures. Funding may be used in the following categories:

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

A. Allowable Planning Costs

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

➢ Public Education/Outreach (such as reproduction of Transit Watch materials);

➢ Development and implementation of homeland security support programs and adoption of ongoing DHS national initiatives;

➢ Development and enhancement of plans and protocols;

➢ Development or conduct of assessments;

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

➢ Conferences to facilitate planning activities;

➢ Materials required to conduct planning activities;

➢ Travel/per diem related to planning activities (such as attendance at Transit Safety and Security Roundtables); and,

➢ Other project areas with prior approval from ODP.

B. Allowable Equipment Acquisition Costs

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

- ➢ Personal Protection Equipment (PPE);
- ➢ Explosive Device Mitigation and Remediation Equipment;
- ➢ CBRNE Operational Search and Rescue Equipment;
- ➢ Information Technology;
- ➢ Cyber Security Enhancement Equipment;
- ➢ Interoperable Communications Equipment;
- ➢ Detection Equipment;
- ➢ Decontamination Equipment;
- ➢ Medical Supplies and Limited Pharmaceuticals;
- ➢ Power Equipment;
- ➢ CBRNE Reference Materials;
- ➢ CBRNE Incident Response Vehicles;
- ➢ Terrorism Incident Prevention Equipment;
- ➢ Physical Security Enhancement Equipment;
- ➢ CBRNE Response Watercraft;
- ➢ CBRNE Logistical Support Equipment;
- ➢ Intervention Equipment; and,
- ➢ Other Authorized Equipment.

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

PROTECT includes facility hardening, detection, emergency management information systems, transport modeling, engineering countermeasures and emergency response. The PROTECT program is aimed at providing an early warning crisis management system in the event of a chemical agent attack in a subway system. Chemical agent detectors are located in stations and activation is electronically reported to the Operations Control Center (OCC). Detector false alarms are eliminated by the

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

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

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

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

C. Allowable Training Costs

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

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

➤ **Full or Part-Time Staff or Contractors/Consultants** - Full or part-time staff may be hired to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or local unit(s) of government and have the approval of the state or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured in the design, development, conduct, and evaluation of CBRNE training.

➤ **Travel** - Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to

the planning and conduct of the training project(s) or for attending ODP-sponsored courses. These costs must be in accordance with the *OJP Financial Guide.* For further information on federal law pertaining to travel costs please refer to http://www.ojp.usdoj.gov/FinGuide.

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

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

D. Allowable Exercise Costs

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

➤ **Exercise Planning Workshop -** Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.

➤ **Full or Part-Time Staff or Contractors/Consultants -** Full or part-time staff may be hired to support exercise-related activities. The services of contractors/ consultants may also be procured to support the design, development, conduct and evaluation of CBRNE exercises. The Federal Acquisition Regulations (FAR) must be followed.

➤ **Overtime and Backfill Costs –** Overtime and backfill costs associated with the design, development and conduct of CBRNE exercises are allowable expenses. Payment of overtime expenses will be for work performed by recipient or sub-recipient employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is an ODP sponsored exercise. These costs are allowed only to the extent the payment for such service is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.

➢ **Travel -** Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s). These costs must be in accordance with the *OJP Financial Guide.* For further information on federal law pertaining to travel costs please refer to http://www.ojp.usdoj.gov/FinGuide.

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

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

E. Allowable Management and Administrative (M&A) Costs

FY 2005 IPRSGP funds may be used for the following M&A costs. See *Management and Administration* (p.8) for specific programmatic guidance.

➢ **Hiring of full-time or part-time staff or contractors/consultants**:

- To assist with the management of the FY 2005 IPRSGP;

- To assist with design, requirements, and implementation of the FY 2005 IPRSGP; and,

- To assist with the implementation and administration of the Security and Emergency Preparedness Plan.

➢ **Hiring of full-time or part-time staff or contractors/consultants and expenses related to**:

- Pre-application submission management activities and application requirements; and,

- Meeting compliance with reporting/data collection requirements, including data calls.

➢ **Development of operating plans for information collection and processing necessary to respond to DHS/ODP data calls Travel expenses**

➢ **Meeting-related expenses** (For a complete list of allowable meeting-related expenses, please review the OJP OC Financial Guide at http://www.ojp.usdoj.gov/FinGuide).

➢ **Acquisition of authorized office equipment**, including personal computers, laptop computers, printers and LCD projectors.

F. Unauthorized Program Expenditures

➢ FY 2005 IPRSGP funds may **not** be used for the following activities:

➢ Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition;

➢ Activities unrelated to the completion and implementation of the IPRSGP and,

➢ Other items not in accordance with the AEL or previously listed as allowable costs.

APPENDIX C

SAMPLE AWARD PACKAGE

Sample Award Package

TAB 1: SAMPLE REVIEW OF AWARD

Office of Justice Programs
Post Award Instructions for ODP Awards

1. Review Award and Special Conditions Document.

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

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

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

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

2. Read Guidelines.

Become familiar with the "*OJP Financial Guide*" which is available through the internet at the OJP, Office of the Comptroller website:
http://www.ojp.usdoj.gov/oc/. New award recipients are automatically placed on a mailing list to receive future Guides and their change sets.

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

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

TAB 2: SAMPLE POST AWARD INSTRUCTION

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

Post Award Instructions

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

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

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

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

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

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

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

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

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

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APPENDIX D

GUIDANCE FOR
THE BSIR

Guidance for the
Biannual Strategy Implementation Report (BSIR)

A. Biannual Strategy Implementation Report (BSIR) Web Application

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

B. BSIR Report

For this grant process, Amtrak is not required to provide budget detail worksheets with its application. However, Amtrak will be required to submit budget data to ODP via the web as part of the BSIR submission due December 31, 2005. The BSIR is a detailed report of the planned activities associated with ODP grant funding.

The BSIR will demonstrate how the planned expenditure of grant funds will be used to administer the grant and to fund the critical resource gaps identified in Amtrak's SEPP and the Regional Transit Security Strategies in the National Capitol Region, Philadelphia, New York, Boston and Chicago. This will be accomplished through the specific identification of a project or projects to be accomplished with funds provided during the grant award period. All funds provided must be linked to one or more projects. Amtrak is reminded to keep a record of all budget worksheets and must make them available for DHS review upon request.

This report must be completed for all funds. All financial resources provided through the FY 2005 IPRSGP must be used to fund the critical resource gaps identified in Amtrak's SEPP and the Regional Transit Security Strategies in the National Capitol Region, Philadelphia, New York, Boston and Chicago.

C. Grant Reporting Timeline

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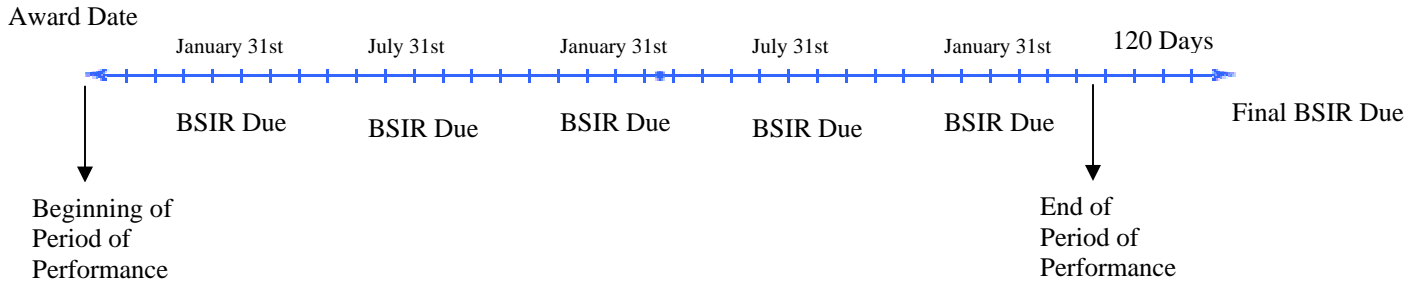

Figure 1. Grant Reporting Timeline

D. Reported Information

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

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

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

<u>APPENDIX E</u>

APPROVAL PROCESS FOR NON-ODP DEVELOPED COURSES

Approval Process for Non-ODP Developed Courses

1. Request for review of non-ODP developed training courses should be made through the ODP using the Course Approval Request Form. This form is found in the Office of State and Local Government Coordination and Preparedness (SLGCP) Course Approval Process, Non-SLGCP Developed Courses, Appendix E, which is available on the ODP website at: http://www.ojp.usdoj.gov/odp/training.htm.

2. The ODP Transportation Infrastructure Security Division (TISD) will perform a preliminary review to ensure all training course materials are included and, if complete, will forward the request to the ODP Training Division. All course materials must be submitted with the original application, and conditional approvals are not offered.

3. Upon receipt of the request, the ODP Training Division will respond as follows (See Appendix C of the SLGCP Course Approval Process, Non-SLGCP Developed Courses):

   ➢ Contents will be inventoried and logged into the SLGCP Training Approval Tracking System;
   ➢ An in-depth cross-check for potential duplication of training courses will be conducted; and,
   ➢ An initial review and comparison to SLGCP standards will be performed.

4. ODP will initiate an independent subject matter review of course materials based on the completed application.

5. The independent review for subject matter accuracy, statutory compliance, and instructional design will be completed within 15 working days from receipt of the course materials. For courses that require on-site review the period may be extended to 60 days.

6. Upon completion of the independent review and the Course Evaluation, Observations, and Findings form, the ODP Training Division will notify the ODP TISD and Amtrak of the outcome and provide either the letter of approval or disapproval. Notification of results will be completed within five (5) working days from receipt of the Course Evaluation, Observations, and Findings form.

APPENDIX F

GUIDANCE FOR DEVELOPMENT OF INTEROPERABLE COMMUNICATIONS PLANS

Guidance for Development of Interoperable Communications Plans

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

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

The SAFECOM interoperable communications guidance addresses the following issues:

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

- ➢ Criteria for Public Safety Communications Equipment Grants
  - o Building, Upgrading, Enhancing, Replacing and Maintaining Public Safety Communications Systems and Equipment

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

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

APPENDIX G

HOMELAND SECURITY PREPAREDNESS TECHNICAL ASSISTANCE PROGRAM

Homeland Security Preparedness Technical Assistance Program

A. Program Overview

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

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

B. Technical Assistance Defined

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

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

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

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

> **LEVEL TWO:** Delivery of solution packages and performance models drawn from federal, state, and local studies, best practices, and experience that guide the implementation of various initiatives. Level Two delivery methods include:
>   o   Models
>   o   Templates
>   o   Samples

> **LEVEL THREE:** Delivery of rigorous, customized solutions through direct, on-site support. Training, guidance, and facilitation efforts maximize direct interaction between TA providers and TA recipients to ensure the successful implementation of the most complex initiatives. Level Three delivery methods include:
>
>   o   On-site Specific Training
>   o   Train-the-Trainer Programs
>   o   Guidance
>   o   Facilitation of Workshops and Meetings

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

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

C. How to Request Technical Assistance

All requests for technical assistance must be made in writing and sent to ODP for approval, coordination and execution. FY 2005 IPRSGP grantees wishing to participate in the Technical Assistance Program may apply directly to ODP.   Requests should be submitted to the ODP Technical Assistance Division (TAD) using the "TA Services Request" form found in the online catalog. The request can be faxed or mailed to TAD at:

Office for Domestic Preparedness
Technical Assistance Division
810 7th Street, NW
Washington, DC 20531

Fax: (202) 786-9921

D. Contact and Further Information

The TA Program is available on a first-come, first-served basis subject to the availability of funds.

Additional detail on the information in this section is available online at:

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

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

APPENDIX H

ACRONYMS AND ABBREVIATIONS

Acronyms and Abbreviations

A

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

B

BSIR	Biannual Strategy Implementation Reports

C

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

D

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

E

EOC	Emergency Operations Center
EOP	Emergency Operations Plans

F

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

G

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

H

HDER	Homeland Defense Equipment Reuse
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
HSPTAP	Homeland Security Preparedness Technical Assistance Program

I

IAB	Interagency Board
IAIP	DHS Information Analysis and Infrastructure Protection Directorate

ICS	Incident Command System
IED	Improvised Explosive Device
IP	Improvement Plan
ISIP	Initial Strategy and Implementation Plan

L

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

M

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

N

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

O

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

P

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

S

S&T	Science and Technology
SEL	Standardized Equipment List
SHSP	State Homeland Security Program
SHSS	State Homeland Security Strategy
SLGCP	DHS Office of State and Local Government Coordination and Preparedness
SPOC	Single Point of Contact

T

TA	Technical Assistance
TIA	Terrorism Incident Annex

TSARM   TSA Self Assessment Risk Modules
TSI   Transportation Security Incident

U

UASI
TSGP   Urban Area Security Initiative Transit Security Grant Program