



U.S. DEPARTMENT OF HOMELAND SECURITY

**Fiscal Year 2008**

**TRANSIT SECURITY GRANT PROGRAM**

**PROGRAM GUIDANCE AND APPLICATION KIT**

**February 2008**



U.S DEPARTMENT OF HOMELAND SECURITY

# CONTENTS

<b>SUMMARY OF KEY CHANGES.....</b>	<b>1</b>
<b>INTRODUCTION.....</b>	<b>4</b>
<b>PART I. AVAILABLE FUNDING AND ELIGIBLE APPLICANTS .....</b>	<b>13</b>
<b>PART II. APPLICATION EVALUATION PROCESS .....</b>	<b>18</b>
<b>PART III. PROGRAM REQUIREMENTS.....</b>	<b>22</b>
<b>APPENDIX A. ALIGNMENT WITH THE NATIONAL PREPAREDNESS ARCHITECTURE.....</b>	<b>A-1</b>
<b>APPENDIX B. FY 2008 TSGP ALLOWABLE EXPENSES.....</b>	<b>B-1</b>
<b>APPENDIX C. GRANTS.GOV QUICK-START INSTRUCTIONS .....</b>	<b>C-1</b>
<b>APPENDIX D. INVESTMENT JUSTIFICATION.....</b>	<b>D-1</b>
<b>APPENDIX E. SAMPLE BUDGET DETAIL WORKSHEET .....</b>	<b>E-1</b>
<b>APPENDIX F. TRAINING COST MATRIX AND VENDOR/COURSE LIST .....</b>	<b>F-1</b>
<b>APPENDIX G. AWARD AND REPORTING REQUIREMENTS.....</b>	<b>G-1</b>
<b>APPENDIX H. ADDITIONAL RESOURCES.....</b>	<b>H-1</b>
<b>APPENDIX I .OPERATIONAL EXPENSES CERTIFICATION FORM .....</b>	<b>I-1</b>
<b>APPENDIX J. SECURITY PLAN CERTIFICATION FORM.....</b>	<b>J-1</b>

## SUMMARY OF KEY CHANGES

The Transit Security Grant Program (TSGP) has changed for Fiscal Year (FY) 2008 in some key ways from previous years. These changes are summarized below.

### **Available Funding**

The funding for the FY 2008 TSGP has increased substantially. The funding available for intracity rail, ferry, and bus has increased from \$255 million in FY 2007 (base and supplemental) to \$348.6 million in FY 2008.

### **Ferry System Eligibility**

Certain ferry systems (identified in Table 4) are eligible to participate in the FY 2008 TSGP, and receive funds under the Tier I cooperative agreement process. However, any ferry system electing to participate and receive funds under the FY 2008 TSGP **cannot participate in the FY 2008 Port Security Grant Program (PSGP)**, and will not be considered for funding under the FY 2008 PSGP. Likewise, any ferry system that participates in PSGP cannot be considered for funding under TSGP.

### **Security Plans**

Public Law (PL) 110-53, titled “Implementing Recommendations of the 9/11 Commission Act of 2007” and enacted in September 2007, requires that transit agencies have a security plan in order to be eligible for transit security grant funds, and that grant funds be used to address items in that plan<sup>1</sup>. Although the requirement for a security plan was included in the FY 2005 TSGP, it is now required by law.

In order to be eligible for FY 2008 TSGP grants, transit agencies must have developed and/or updated the above mentioned security plan within the last three years. Entities providing transit security (e.g., city/county police department, transit agency’s own police department) for a transit agency must approve the security plan. The signature of a responsible official from the entity providing transit security serves as this approval. Certification of the existence of these documents must be provided to the Department of Homeland Security (DHS) as a part of the application. Further, security plans and associated documentation of this approval must be provided to DHS upon request.

### **Investment Justifications**

Each Investment Justification received from Tier 1 applicants must be reviewed by the agency’s transit security provider prior to the submission to the Regional Transit Security Working Group (RTSWG). Table 4 indicates the transit security providers by transit agency. Review is required whether or not the investment specifically involves the security provider. The signatures of responsible officials from both the transit agency and the agency’s transit security provider (Table 4) serves as certification of agreement to submit each investment justification. See Appendix D for the appropriate form.

---

<sup>1</sup> PL 110-53, Section 1406(a)(2)

### **Scoring Methodology and Criteria**

The criteria used to make funding decisions within Tier I and Tier II have been refined. Each project submitted for funding will be scored based on:

- The agency's risk,
- The project effectiveness,
- The quality of the project (as written up in the Investment Justification), and
- A regional collaboration component (where appropriate).

A project's overall score will be based on all four factors above. Projects must meet a minimum eligibility threshold in order to be considered for funding.

### **Operational Activities**

The Department feels that operational activities, including those activities provided by the transit agency's primary security providers (e.g., law enforcement agencies or transit agency police departments) can be an effective method for mitigating risk. Although law enforcement agencies are not eligible for direct grants in FY 2008, law enforcement agencies that act as the primary transit security providers for large transit agencies are eligible as sub-recipients of the transit agencies.

### **Regional Transit Security Working Groups (RTSWGs)**

The responsibilities and membership of the RTSWGs in Tier I regions has been amended. First, DHS/Transportation Security Administration (TSA) will act as a co-chair on the RTSWGs along with any other current chairs/co-chairs established by the region. Certain law enforcement agencies that are the primary providers of transit security (eligible sub-recipients of transit agencies) must be included in the RTSWGs as active participants with full membership rights. Also, RTSWGs are encouraged to include representatives of freight rail carriers who operate in their region.

RTSWGs must develop a comprehensive list of security-related investments that the region will need to undertake in order to mitigate risk in the region, *prioritized by regional risk*.

### **Funding Allocations**

The funding allocations included in this grant guidance represent a target funding level. The final allocations will be determined based on projects submitted. If quality applications are not submitted from one region, funds may be transferred to another region and/or between tiers to fund effective, high-priority security projects.

### **Project Effectiveness**

DHS has identified several different project types, and grouped them into four prioritized groups based on their effectiveness to reduce risk and alignment with Departmental priorities. This identification was also made in response to requests from transit agencies to provide a methodology to prioritize projects. Scoring for both Tier I and II projects will reflect this "project effectiveness" component. These project groupings are discussed in detail within this guidance document.

Securing high-risk critical assets, such as underwater tunnels and multi-level/multi-agency underground stations, remains one of the Department’s highest priorities. Prior year grant funding levels, however, limited the program’s ability to fund some of the high-cost projects associated with risk mitigation of these types of critical infrastructure. With this year’s substantial funding increase, these types of risk mitigation projects can now be considered. Additionally, the TSGP continues to place highest priority on projects that include the training of frontline employees; operational activities that support visible, unpredictable deterrence; exercises; and public awareness programs. Table 1 below outlines key changes to the FY 2008 TSGP from FY 2007.

**Table 1: Key Changes for the FY 2008 TSGP**

Change	Description	Page References
Security Plans	All agencies receiving TSGP funds are required by Public Law 110-53 to have a security plan, and that grant funds be used to address items in that plan <sup>2</sup> . Transit agencies must have developed and/or updated a security plan within the last three years and must have concurrence from the transit agency’s security provider.	13-14, Appendix J
Investment Justification	Each investment justification must be reviewed by the agency’s transit security provider(s) prior to the submission to the RTSWG.	Appendix D
Eligibility	Law Enforcement agencies are no longer eligible as direct grant recipients. However, certain Law Enforcement agencies are eligible as sub-recipients of the transit agencies they provide transit security to. A list of those law enforcement agencies is included in this guidance.	16
Funding Allocations	Funding allocations represent a target funding level. Funds may be moved among Tier I regions, and/or between tiers, based on the overall quality and effectiveness of applications, as appropriate.	16-17
Scoring Methodology and Funding Criteria	Each project submitted for funding will be given a score based on the agency’s risk ranking, the project effectiveness, the quality of the project, and a regional collaboration component (where appropriate). A project’s overall score will be based on all four factors. Projects must meet a minimum eligibility threshold in order to be considered for funding.	8, 19-20
Project Effectiveness	The Department has identified specific types of projects that will receive priority consideration in all awards based on their effectiveness in reducing risk. These project types have been divided into four prioritized groups, each discussed in detail within this guidance document.	7
Regional Transit Security Working Groups (RTSWGs)	<ul style="list-style-type: none"> <li>• In Tier I regions, DHS/TSA will act as a co-chair on the RTSWG with any other current chairs/co-chairs established by the region.</li> <li>• The Tier I RTSWGs must develop a comprehensive list of security-related investments that the region will need to undertake in order to mitigate risk in the region, <i>prioritized by regional risk</i>.</li> <li>• Law Enforcement agencies listed herein must be included in the RTSWGs as active participants will full membership rights.</li> <li>• RTSWGs are encouraged to include representatives of freight rail carriers who operate in or through the region.</li> </ul>	8-9

All entities receiving TSGP funding are required to read and conform to all requirements of this grant guidance document and must have read and accepted all program guidance as binding.

<sup>2</sup> Public Law 110-53, Section 1406(a)(2)

## INTRODUCTION

The Transit Security Grant Program (TSGP) is one of five grant programs that constitute the Department of Homeland Security (DHS) Fiscal Year (FY) 2008 focus on infrastructure protection activities. TSGP is one tool among a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the nation's critical infrastructure against risks associated with potential terrorist attacks. The TSGP is an important component of the Department's effort to enhance the security of the Nation's critical infrastructure. The program provides funds to owners and operators of transit systems (which include intracity bus, rail, and ferry systems) to protect critical surface transportation infrastructure and the traveling public from acts of terrorism, major disasters, and other emergencies.

The bulk of America's critical infrastructure is owned and/or operated by State, local and private sector partners. The funds provided by the TSGP are primarily intended to improve the security of public transit to include bus, passenger rail, and ferry systems. The TSGP also supports security funding for the National Passenger Rail Corporation (Amtrak), and freight railroad carriers.<sup>3</sup>

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

Making an application for significant Federal funds under programs such as this can be quite complex. DHS places a high priority on providing clear guidance and efficient application tools to assist applicants. Customers are entitled to effective assistance during the application process, and transparent, disciplined management controls to support grant awards. DHS staff operate as good stewards of precious Federal resources, and commonsense partners with State and local colleagues.

It is understood that individual transit systems will have unique needs and tested experience about how best to reduce risk locally. DHS subject matter experts will come to the task with a sense of urgency to reduce risk, but also with an ability to listen carefully to local needs and approaches. In short, the Department is committed to respecting flexibility and local innovation as it funds National Homeland Security priorities. The Department expects that, subject to the availability of future grant funds, it will use this formula and these guidelines. This commitment will allow transit security regions and agencies greater flexibility in security planning.

---

<sup>3</sup> Unless otherwise noted, this *Grant Guidance and Application Kit* establishes requirements for the TSGP intracity rail, ferry, and intracity bus awards only. Although there is substantial overlap, TSGP guidance documents for Amtrak and freight railroad carriers are contained in separate supplemental *Grant Guidance and Application Kit* packages.

## **A. Federal Investment Strategy**

The TSGP is an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness, including the security of America's critical infrastructure. The TSGP implements objectives addressed in a series of post 9/11 laws, strategy documents, plans, Executive Orders and Homeland Security Presidential Directives (HSPDs) outlined in Appendix A. Of particular significance are the National Preparedness Guidelines<sup>4</sup> and associated work products, including the National Infrastructure Protection Plan (NIPP) and its transportation sector-specific plans and Executive Order 13416 (Strengthening Surface Transportation Security). The National Preparedness Guidelines provide an all-hazards vision regarding the nation's four core preparedness objectives: to prevent, protect against, respond to and recover from terrorist attacks and other similarly catastrophic events.

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

DHS expects its critical infrastructure partners—including recipients of this grant—to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations and investment to the degree practicable. Our funding priorities outlined in this document reflect National Preparedness Guidelines priority investments as appropriate. Programmatic requirements or priority investment categories reflecting the national preparedness architecture for this grant program are identified below.

## **B. Funding Priorities**

The funding priorities for the FY 2008 TSGP reflect the Department's overall investment strategy. Of these priorities two have been paramount risk-based funding and regional security cooperation.

---

<sup>4</sup> The National Preparedness Guidelines and its supporting documents were published in final form and released on September 13, 2007. The Guidelines are available at: <http://www.dhs.gov/xprepresp/publications>.

### **Risk-Based Funding**

Based upon ongoing intelligence analysis, extensive security reviews, consultations with the transit industry and Congressional direction, DHS once again intends to focus the bulk of its available transit grant dollars on the highest-risk systems in our country's largest metropolitan areas. Eligible agencies were identified using a comprehensive, empirically-grounded risk analysis model that was also used in FY 2007, and is described below in the section regarding eligible recipients.

DHS has also identified priority project types and placed them into groups based on their effectiveness to reduce risk. Certain types of projects that are effective at addressing risk will be given priority consideration for funding. These groups have been prioritized based upon Departmental priorities and their ability to elevate security on a system-wide level, to elevate security to critical infrastructure assets, and to reduce the risk of catastrophic events and consequences. Table 2 outlines, in detail, the groups and sample project types. While the groups are prioritized, the projects within each group are not. Note that project types not on the priority list will not be considered for funding in the FY 2008 TSGP, such as Hardening of Low-Density Stations, Redundant Control Centers/Mobile Command Centers, Back-Up Generators/Power Supplies, and Chemical/Biological Detection Systems.

### **Regional Security Coordination**

DHS places a very high priority on ensuring that all TSGP applications reflect robust regional coordination and can show an investment strategy that institutionalizes regional security strategy integration. Many Tier I and Tier II regions have more than one transit operating agency. DHS will work with successful grantees to strengthen and support regional consultation processes. Close coordination of the Federal TSGP investments is encouraged in all applications and is reflected in the regional collaboration component of the overall project score.

The FY 2008 TSGP awards for Tier I agencies will continue to be made in the form of cooperative agreements. Under cooperative agreements, DHS will partner with each region, specifically their transit systems and security providers, to address risk in that region. In order to ensure the region addresses risk in a comprehensive and collaborative manner, DHS will engage in a dialogue with each region to discuss the regional risks and threats and then help agencies identify projects with the greatest security impact. The scoring methodology described in this grant guidance will provide the framework for how DHS will work with the regions to identify and prioritize security projects for funding. DHS will work closely with the region, transit systems and security providers, pre- and post-award, to ensure that the projects are being implemented effectively. Cooperative agreements allow greater flexibility throughout the lifecycle of the grant. For example, if situations arise where the direction of the project needs to be changed, a cooperative agreement allows DHS to work directly with the transit system to quickly adapt to that change.

**Table 2: Project Effectiveness Groups Listed in Priority Order**

Priority Group #	Project Effectiveness Group Score	Description	Project Types
1	4	Training, Operational Deterrence, Drills, Public Awareness Activities	<ul style="list-style-type: none"> <li>• Developing Security Plans</li> <li>• Training (basic before follow-on):                             <ul style="list-style-type: none"> <li>○ Security Awareness</li> <li>○ DHS-Approved Behavior Recognition Detection Courses</li> <li>○ Counter-Surveillance</li> <li>○ Immediate Actions for Security Threats/Incidents</li> </ul> </li> <li>• Employee Security Threat Assessments (e.g. background checks)</li> <li>• Operational Deterrence                             <ul style="list-style-type: none"> <li>○ Canine Teams</li> <li>○ Mobile Explosives Screening Teams</li> <li>○ VIPR Teams</li> </ul> </li> <li>• Crowd Assessment</li> <li>• Public Awareness</li> </ul>
2	3	Multi-User High-Density Key Infrastructure Protection	<p>Anti-terrorism security enhancement measures, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions for:</p> <ul style="list-style-type: none"> <li>• Tunnel Hardening</li> <li>• High-Density Elevated Operations</li> <li>• Multi-User High-Density Stations</li> </ul>
3	2	Single-User High-Density Key Infrastructure Protection	<ul style="list-style-type: none"> <li>• Hardening of SCADA systems</li> <li>• Anti-terrorism security enhancement measures for:                             <ul style="list-style-type: none"> <li>○ High-Density Stations</li> <li>○ High-Density Bridges</li> </ul> </li> </ul>
4	1	Key Operating Asset Protection	<ul style="list-style-type: none"> <li>• Physical Hardening of Control Centers                             <ul style="list-style-type: none"> <li>○ Bollards</li> <li>○ Stand off</li> <li>○ Access Control</li> </ul> </li> <li>• Secure Parked trains, engines, and buses                             <ul style="list-style-type: none"> <li>○ Bus/Rail Yards</li> </ul> </li> <li>• Maintenance Facilities</li> </ul>

Project types that are not in Project Effectiveness Priority Groups 1-4 will not be considered for funding under the FY 2008 TSGP (e.g., Hardening of Low-Density Stations, Redundant Control Centers/Mobile Command Centers, Back-Up Generators/Power Supplies, and Chemical/Biological Detection Systems).

As in FY 2007, DHS will conduct extensive outreach and provide continuing support to answer inquiries and to assist agencies with filing the strongest possible applications.

### C. Scoring Methodology and Funding Allocations

In the effort to promote transparency and focus on effective risk-mitigating projects, a new scoring methodology has been adopted that promotes the consistent and accurate evaluation of projects. The criteria that will be used in funding decisions are as follows. Each project submitted for funding will be given a score based on the agency's risk ranking, project effectiveness (ability to elevate security and reduce risk), quality of the application (Investment Justification), and regional collaboration component (where appropriate). A project's overall score will be based on all four of these factors. Projects must meet a minimum eligibility threshold in order to be considered for funding. The determination of the eligibility threshold will be made by the Department. See Part II, Application Evaluation Process, for further details about the review criteria.

Table 4 identifies all applicants eligible for the FY 2008 TSGP, including law enforcement agencies that are eligible as sub-recipients to transit agencies. Regional allocation levels represent a target amount. Funds may and will be moved among Tier I regions, and/or between tiers as DHS deems appropriate to maximize the security benefit to the Nation based on the overall quality and effectiveness of the final projects submitted. Projects must meet a minimum scoring threshold in order to be considered for funding. If the amount of eligible projects is less than the target allocation for a given region, the remainder of funds will be moved to another region where the amount of eligible projects exceeds the target allocation. This movement will happen between regions and/or tiers, as appropriate, to ensure that all FY 2008 TSGP funding goes towards eligible projects that are effective and efficient in addressing risk mitigation efforts.

### D. Regional Transit Security Working Groups (RTSWG)

#### Tier I

In order to support the cooperative agreement process, each Tier I region must have a RTSWG. The following entities must be invited to actively participate in the group and have full membership rights in the RTSWG: eligible transit agencies and their security providers, eligible law enforcement agencies, Amtrak (only in the National Capital Region, New York, Boston, Chicago, and Los Angeles), the State Administrative Agency (SAA), and the State Office of Homeland Security. For agencies that share assets with Amtrak, close coordination on the expenditure of funds for security enhancements at shared facilities must occur. The RTSWGs are also encouraged to involve freight railroad carriers if their operations intersect with that of the transit agencies.

**DHS/TSA will act as a co-chair on the RTSWG with any other current chairs/co-chairs established by the region.**

As a requirement under the FY 2008 TSGP, **the RTSWGs in Tier I regions must develop a comprehensive list of security-related investments that the region will need to undertake in order to mitigate risk in the region, *prioritized by regional risk***, that will address both near- and long-term investments regardless of cost or

available grant funding. The projects must also relate back to the Project Types in Table 2 in order to be considered eligible for funding.

Additionally, the RTSWGs in Tier I regions must develop a list of current operational capabilities, and regional goals for those operational capabilities (e.g., currently have 9 canine teams, and goal is to have 15 canine teams).

### **Tier II**

Given DHS' preference to continue the promotion of regional risk mitigation strategies, eligible transit agencies in Tier II are encouraged to develop RTSWGs in their areas if they are not already in existence. Members should include eligible transit agencies and their security providers, local law enforcement agencies, Amtrak and eligible freight railroad carriers (where transit operations intersect), the SAA, and the State Office of Homeland Security. Formation of such RTSWGs would facilitate a regional approach to security and result in funding preferences as discussed earlier and under Part II.

## **E. Allowable Expenses**

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

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

Appendix B provides additional detail about each of these six allowable expense categories, as well as a section that identifies several specifically unallowable costs. For Operational Packages, awardees must commit to minimum training standards to be set by the Department as well as post-award capability sustainment requirements for all Federally-funded security personnel. Costs associated with meeting training standards will continue to be an allowable expense with no required cost share but sustainment costs will be the responsibility of the grantee.

### **Operational Packages (OPacks)**

Operational costs were introduced as an allowable expense element with the FY 2007 TSGP Supplemental. For FY 2008, eligible **Tier I** transit systems that have a dedicated transit security/police force, a transit security operations dispatch center, and a daily unlinked ridership of 200,000 or greater are eligible to apply for operational expenses. Also, certain law enforcement agencies that act as the primary transit security provider for large transit systems (as identified in Table 4) are eligible for these types of operational activities as sub-recipients of the transit systems.

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

The maximum Federal cost share for OPacks is 2/3 of the total project cost. For example, if the total OPack cost is \$1 million, the maximum amount that will be funded through this grant is \$667,000; the agency is responsible for providing the additional \$333,000 as their cost share. In 2009, DHS plans to raise this non-Federal share to 50%.

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

Eligible Tier I applicants electing to pursue these options must take the following actions:

- Submit documentation from the agency's chief operating official or designee that certifies in writing what is the current capability (without Federal funding) for each eligible position (Canine, VIPR, etc) and that funds being used under this provision are only used either to fill new dedicated full-time OPack positions, or to cover initial overtime costs associated with establishing the OPack position capability approved for 2008 TSGP funding by DHS until the new full-time officers are in place. Certification will also confirm the agency's understanding of the 6-month limitation on overtime referenced above. Certification will further confirm the agency's understanding that, after the 30-month period of performance, the positions will become the responsibility of the employing agency. Failure to sustain the level of capability established by the grant will result in disqualification from using future TSGP awards for operational expenses. Appendix I contains the necessary certification form.
- Develop and submit for review within 60 days of the grant award a detailed audit process to ensure that supported personnel are involved only in counterterrorism activities as defined per the selected OPack position, and that supported positions are above and beyond pre-grant capabilities. The results of these audit activities must be submitted to DHS for review on a semiannual basis.
- Awardees must commit to minimum training standards to be set by the Department for all federally funded security positions.

### **Operating Cost Restrictions**

PL 110-53 limits how funds can be used for certain operating projects, especially those projects which include operational costs associated with security and counter-terrorism duties. Not more than 50 percent of the funds available for this grant program may be used for “Operating uses” as outlined in PL 110-53 section 1406(b)(2)<sup>5</sup> which includes security training, exercises, public awareness campaigns, canine patrols, development of security plans, overtime reimbursement, and operational costs associated with security or counter-terrorism duties. Further, within the “operational costs” sub-category of “Operating uses”, which includes reimbursement of State, local, and tribal governments for costs for personnel assigned to full-time or part-time security or counterterrorism duties related to public transportation (i.e. OPacks), there is a limitation that grant funding used for this expense cannot total more than 10 percent of the total grant funds received by a public transportation agency in any 1 year<sup>6</sup>. Projects funded under a FY 2008 TSGP award must be consistent with the limitations imposed by PL 110-53.

### **Pre-Priced Fast Track Training**

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

Systems may submit abbreviated Investment Justifications using the training cost matrix contained in Appendix F. Eligible applicants should use this matrix to determine the amount of funding pre-approved through the grant process for training classes, depending on the type of course and the type of employees being trained. Applicants should ask for the exact amount of funds specified in the matrix to ensure compliance with pre-approved costs, and to expedite the award process. Additional costs above the pre-approved amount will not be funded.

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

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

<sup>5</sup> PL 110-53, Section 1406(m)(1)(B)

<sup>6</sup> PL 110-53, Section 1406(b)(2)(G)

To complete the training cost matrix, on the “Data Entry” sheet, transit systems should enter the number of employees that should receive each type of training. The matrix automatically calculates training cost based on the course type, number of employees, and course duration. The calculation also includes appropriate management and administration (M&A) costs for the transit agency, as well as for the State. If the calculated training costs exceed the actual costs incurred, the transit agency is permitted to keep the excess funds and put these funds toward additional employee training or other security-related projects. If however, the calculated training costs are lower than what the transit agency incurred, the transit agency is expected to cover the additional cost. This training matrix, along with the abbreviated Investment Justification, constitutes the required “detailed budget” component of the grant application for fast track training applications.

**For FY 2008 TSGP, the period of performance for fast-track training will be 24 months.**

More information on the training cost matrix, as well as a list of approved courses and vendors, can be found in Appendix F. An electronic version of the matrix can be found at the following website: <http://www.tsa.gov/join/grants/tsgp.shtm>.

## PART I

# AVAILABLE FUNDING AND ELIGIBLE APPLICANTS

This section summarizes the total amount of funding available under the FY 2008 TSGP, the basic distribution method used to administer the grants, and it identifies all transit systems eligible for FY 2008 funding.

### A. Available Funding

In FY 2008, the total funds allocated to TSGP are \$388.6 million. This is up considerably from the \$271.8 million distributed in FY 2007 (base and supplemental). The funding distribution is summarized in Table 3 below.

**Table 3: TSGP FY 2008 Available Funding**

Transportation Mode	FY 2008 Funding
Tier I: Rail, Intracity Bus, & Ferry	\$312,000,000
Tier II: Rail & Intracity Bus	\$36,600,000
Intercity Passenger Rail (Amtrak)*	\$25,000,000
Freight Rail Security Grant Program*	\$15,000,000
<b>TOTAL</b>	<b>\$388,600,000</b>

\*Separate guidance documents are available for the FY 2008 Intercity Passenger Rail (Amtrak) and the FY 2008 Freight Rail Security Grant Program (FRSGP)

### B. Selection of Eligible Applicants

Agencies eligible for FY 2008 TSGP funding were identified using a comprehensive, empirically-grounded risk analysis model. The risk methodology for the TSGP is consistent across modes and is linked to the risk methodology used to determine eligibility for the core DHS State and local grant programs. TSGP basic eligibility is derived from the Urban Areas Security Initiative (UASI). Certain ferry systems, listed in Table 4, are eligible to participate in the FY 2008 TSGP, and receive funds under the Tier I cooperative agreement process. However, any ferry system electing to participate and receive funds under the FY 2008 TSGP **cannot participate in the FY 2008 Port Security Grant Program (PSGP)**, and will not be considered for funding under the FY 2008 PSGP. Likewise, any ferry system that participates in PSGP cannot be considered for funding under TSGP.

PL 110-53 requires that transit agencies have a security plan in order to be eligible for transit security grant funds, and that grant funds be used to address items in that plan<sup>7</sup>. In order to be eligible for the FY 2008 TSGP, transit agencies must have developed and/or updated their security plan within the last three years. Entities providing transit security (e.g., city/county police department, transit agency's own police department) for a transit agency must approve the security plan. The signature of a responsible official from the agency's transit security provider serves as this approval. Certification of the existence of these documents must be provided to DHS as a part of the investment justification. Security plans and associated documentation of this approval must be provided to DHS upon request.

In addition, the security plan must be approved by the transit security provider. If there is more than one provider in the core service area, all transit security providers must review and concur in the plan. Each Tier I investment justification must be reviewed by the agency's transit security provider prior to the submission to the RTSWG. Table 4 indicates the transit security providers by transit agency. Review is required whether or not the investment specifically involves the security provider. The signatures of responsible officials from both the transit agency and the agency's transit security provider (Table 4) serves as certification of agreement to submit each investment justification. See Appendix D for the appropriate form

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

The TSGP risk formula is based on a 100 point scale comprised of *threat* (20 points) and *vulnerability/consequences* (80 points) variables. The DHS formula incorporates multiple variables. Each variable set is assigned a weight as part of the overall formula, and all eligible jurisdictions are empirically ranked in each instance on a numerical scale from lowest to highest.

The DHS risk assessment methodology considers critical infrastructure system assets, and characteristics that might contribute to their risk, such as: intelligence community assessments of threat; potentially affected passenger populations, and the economic impact of attack. The relative weighting of variables reflects DHS' overall risk assessment and FY 2008 program priorities (e.g., heavy weighting for the presence of underwater and underground systems). Specific variables include the unlinked passenger trips for rail and bus systems, the number of underground track miles, the number of underwater tunnels, and the location-specific intelligence community risk analysis.

---

<sup>7</sup> PL 110-53, Section 1406(a)(2)

### C. Eligible Applicants and Role of State Administrative Agencies

The Governor of each State and Territory with an FY 2008 UASI jurisdiction is required to designate a State Administrative Agency (SAA) to apply for and administer the funds awarded under the TSGP. The SAA is the only entity eligible formally to apply for TSGP funds<sup>8</sup>. DHS requires that the SAA be responsible for obligating TSGP funds to the appropriate individual transit agencies within 45 days after receipt of funds<sup>9</sup>.

Certain law enforcement agencies (identified in Table 4) that are principal providers of transit security to a Tier I system are eligible sub-recipients of the transit agencies. Funds may only be used to support transit-related security activities and not other departmental operations. **Note: This provision applies exclusively to the New York City, Chicago, and San Francisco Police Departments, Los Angeles County Sheriff's Department, Orange County (CA) Sheriff's Office, Alameda County Sheriff's Office, and Contra Costa County (CA) Office of the Sheriff, which support, respectively, Tier I regional transit agencies in the New York City, Chicago, Bay Area, and Greater Los Angeles Urban Areas.**

Table 4 summarizes the specific rail and intracity bus transit systems that are eligible for funding through the FY 2008 TSGP by tier, as well as target funding levels.

***Eligibility does not guarantee grant funding.***

---

<sup>8</sup> This does **not** apply to Amtrak. Amtrak may apply for and receive a direct award pursuant to supplemental guidance.

<sup>9</sup> For purposes of the FY08 TSGP, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down) have been removed.

**Table 4: Eligible Rail and Intracity Bus Transit Agencies and Law Enforcement Agencies\***

Tier	State	Urban Area	Eligible System	Transit Security Provider*	FY 2008 Target
I	CA	Bay Area	Alameda-Contra Costa Transit District (AC Transit)	Alameda County Sheriff's Office Contra Costa County (CA) Office of the Sheriff	\$28,259,722
			Altamont Commuter Express (ACE)		
			Bay Area Rapid Transit (BART)	BART Police Department	
			Central Contra Costa Transit Authority		
			City of Alameda Ferry Services (Blue and Gold Lines Fleet)		
			City of Vallejo Transportation Program (ferry only)		
			Golden Gate Bridge, Highway and Transportation District (including Ferry)		
			Transbay Joint Powers Authority		
			Peninsula Corridor Joint Powers Board (Caltrain)		
			San Francisco Municipal Railway (MUNI)	San Francisco Police Department	
		San Mateo County Transit Authority (SamTrans)			
		Santa Clara Valley Transportation Authority (VTA)			
		Catalina Passenger Service			
		City of Los Angeles Department of Transportation			
		Foothill Transit			
		Long Beach Transit			
		Los Angeles County Metropolitan Transportation Authority	Los Angeles Sheriff's Department		
		Orange County Transportation Authority (OCTA)	Orange County Sheriff's Department		
	Santa Monica's Big Blue Bus				
	Southern California Regional Rail Authority (Metrolink)				
	DC/MD/VA**	Greater National Capital Region (National Capital Region and Baltimore UASI Areas)	City of Alexandria (Alexandria Transit Company)		\$38,080,340
			Fairfax County Department of Transportation		
			Maryland Transit Administration (MTA)	Maryland MTA Police Department	
			Montgomery County Department of Transportation		
			Potomac and Rappahannock Transportation Commission		
			Prince George's County Department of Public Works and Transportation		
			Virginia Railway Express (VRE)		
		Washington Metropolitan Area Transit Authority	Metro Transit Police Department		
	GA	Atlanta Area	Georgia Regional Transportation Authority		\$6,399,055
			Metropolitan Atlanta Rapid Transit Authority (MARTA)	MARTA Police Department	
	IL/IN***	Chicago Area	Chicago Transit Authority (CTA)	Chicago Police Department	\$24,856,829
			Northeast Illinois Commuter Railroad Corporation (METRA)	METRA Police Department	
Northern Indiana Commuter Transportation District (NICTD)					
		PACE Suburban Bus			
MA	Boston Area	Massachusetts Bay Transportation Authority (MBTA) (including Ferry)	MBTA Transit Police Department	\$29,259,896	
NY/NJ/CT****	New York City/Northern New Jersey Area (New York City and Jersey City/Newark UASI Areas)	Connecticut Department of Transportation		\$153,256,664	
		Metropolitan Transportation Authority (MTA) New York City Transit (Subway)	New York City Police Department (NYPD)		
		MTA New York City Transit (Bus)	New York City Police Department (NYPD)		
		MTA Bus	MTA Police Department		
		MTA Suburban Bus Authority	MTA Police Department		
		MTA Metro-North Commuter Railroad Company	MTA Police Department		
		MTA Long Island Railroad	MTA Police Department		
		New Jersey Transit Corp. (NJT)	NJT Police Department		
		New York City Department of Transportation (Ferry)			
		Port Authority of New York and New Jersey (PANYNJ) (including Ferry)	Port Authority Police Department		
Westchester County Department of Transportation					
PA/NJ*****	Philadelphia Area	Delaware River Port Authority (DRPA)		\$18,553,816	
		Southeast Pennsylvania Transportation Authority	SEPTA Police Department		
		Pennsylvania Department of Transportation			
		New Jersey Transit	NJT Police Department		

**U.S. DEPARTMENT OF HOMELAND SECURITY – TRANSIT SECURITY GRANT PROGRAM**

Tier	State	Urban Area	Eligible System	FY 2008 Target
II	AZ	Phoenix Area	City of Phoenix Public Transit Department	\$36,600,000
			Valley Metro Regional Public Transportation Authority (Valley Metro)	
		Tucson Area	City of Tucson Transit	
	CA	Sacramento Area	Sacramento Regional Transit District	
		San Diego Area	North San Diego County Transit District (NCTD)	
			San Diego Metropolitan Transit System (MTS)	
	CO	Denver Area	Regional Transportation District	
	FL	Jacksonville Area	Jacksonville Transportation Authority	
			Broward County Division of Mass Transit	
			Miami-Dade Transit	
		Miami/Fort Lauderdale (Miami and Fort Lauderdale UASI Areas)	South Florida Regional Transportation Authority (Tri-Rail)	
			Central Florida Regional Transportation Authority	
	Orlando Area	Hillsborough Area Regional Transit Authority (HART)		
	Tampa Area	Pinellas Sun Coast Transit Authority		
	HI	Honolulu Area	City and County of Honolulu Department of Transportation Services	
	LA	New Orleans Area	Jefferson Parish Department of Transportation	
			New Orleans Regional Transit Authority (NORTA)	
	MI	Detroit Area	City of Detroit Department of Transportation	
			Detroit Transportation Corporation	
			Suburban Mobility Authority for Regional Transportation	
	MN	Twin Cities Area	Metro Transit	
	MO	St. Louis Area	Bi-State Development Agency (Metro)	
			Madison County Transit District	
	NV	Las Vegas Area	Regional Transportation Commission of Southern Nevada	
	NY	Buffalo Area	Niagara Frontier Transportation Authority	
	NC	Charlotte Area	Charlotte Area Transit System (CATS)	
	OH	Cincinnati Area	Southwest Ohio Regional Transit Authority	
			Transit Authority of Northern Kentucky	
		Cleveland	The Greater Cleveland Regional Transit Authority	
	OR	Portland Area	Clark County Public Transportation Benefit Area (C-TRAN)	
			Tri-County Metropolitan Transportation District (Tri-Met)	
	PA	Pittsburgh Area	Port Authority of Allegheny County	
	RI	Providence Area	Rhode Island Public Transit Authority	
	TN	Memphis Area	Memphis Area Transit Authority	
	TX	Dallas/Fort Worth/Arlington Area	Dallas Area Rapid Transit (DART)	
			Fort Worth Transportation Authority (The T)	
			Trinity Railway Express (TRE)	
		Houston Area	Metropolitan Transit Authority of Harris County	
		San Antonio Area	VIA Metropolitan Transit	
	VA	Norfolk Area	Hampton Roads Transit	
	WA	Seattle Area	Central Puget Sound Regional Transit Authority (Sound Transit)	
			King County Department of Transportation	
Pierce County Public Transportation Benefit Area Corporation (Pierce Transit)				
Snohomish County Transportation Benefit Area Corporation (Community Transit)				
WI	Milwaukee Area	Milwaukee County Transit System		
			Amtrak	\$25,000,000
			Freight Rail	\$15,000,000
			<b>Total</b>	<b>\$388,600,000</b>

\*The responsible law enforcement agencies indicated must co-sign every investment justification for these transit agencies.

\*\*The DC SAA will administer these funds.

\*\*\*The IL SAA will administer these funds.

\*\*\*\*The NY SAA will administer these funds.

\*\*\*\*\*The PA SAA will administer these funds.

Note: "Other Rail" includes: 1) Automated Guideway (AG); and, 2) Cable Car (CC)

## PART II

# APPLICATION EVALUATION PROCESS

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

### **A. TSGP Program Management: Roles and Responsibilities**

Within DHS, TSA by law has the lead for managing the Department's security oversight and security programs for the transit industry. TSA provides transit system subject matter expertise within DHS and determines the primary security architecture for the TSGP program. Its subject matter experts have the lead in crafting all selection criteria associated with the application review process. TSA coordinates daily with the DHS Chief Intelligence Officer to review intelligence reporting and craft intelligence risk assessments related to the transportation sector.

The Federal Emergency Management Agency (FEMA) has the lead for designing and operating the administrative mechanisms needed to manage the Department's core grant programs, including this grant program. In short, FEMA is responsible for ensuring compliance with all relevant Federal grant management requirements and delivering the appropriate grant management tools, financial controls, audits and program management discipline needed to support the TSGP. While both TSA and FEMA of necessity interface directly with our transit stakeholders, TSA will prioritize specific investments and set security priorities associated with the TSGP.

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

## B. Overview – Application Deadline and Review Process

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

For Tier I regions, the SAA needs only submit by March 17, 2008 an SF-424 (Application for Federal Assistance) for the regional allocation target amount. DHS will work with the regions to improve formal projects and investment justifications that address the region's security needs, and are in alignment with Departmental priorities. Tier I systems will be required to submit via the SAA the final investment justifications developed with DHS by August 15, 2008. Extensions will not be granted.

For Tier II systems, the SAA must submit by March 17, 2008 an SF-424 application (including all required assurances and certifications described in Part III following) together with an investment justification and detailed budget for each project for which funding is being requested. Detailed budgets are not required for fast-track training requests, as the training cost matrix represents the detailed budget.

DHS will evaluate and act on applications within 60 days following close of the application period. The FY 2008 TSGP will use risk-based prioritization consistent with DHS policy outlined in this *TSGP Program Guidance and Application Kit*.

Investment Justifications will be evaluated based on<sup>10</sup>:

- The agency's risk grouping (Sensitive Security Information will be provided separately),
- The project effectiveness group (see Table 2),
- The quality of the project (as written up in the Investment Justification for Tier II), and
- A regional collaboration component (where appropriate).

A project's overall score will be based on all four factors above. **Projects must meet a minimum eligibility threshold in order to be considered for funding.**

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

- DHS will verify compliance with each of the administrative and eligibility criteria identified in the application kit.
- RTSWGs will develop prioritized lists of Investment Justifications based on the agencies' risk groupings, project effectiveness group, and regional collaboration. DHS will work with the Tier I regions and their transit systems to ensure project quality.

---

<sup>10</sup> Project Score = Risk Group x Project Effectiveness + Quality Score

- Tier II fast track training investment justifications will be reviewed by TSA and FEMA, and then approved for funding.
- For Tier II applications that are not related to fast track training, the Department will calculate a total score to aid with funding selections. The total score will consist of four individual parts: an agency-based risk score, a score associated with an application's alignment to the project effectiveness groups, a score based on project quality, and the degree of regional collaboration.
- Eligible applications will be reviewed by a panel to determine the project quality score. This panel will consist of Federal officials from multiple government agencies that will review each application and score it based on the following criteria: cost effectiveness, feasibility, timelines, and sustainability without additional Federal funds. The scoring criteria are outlined in detail below.
- TSA will make recommendations for funding to the Secretary of Homeland Security based on the funding priorities and scoring methodology.

Project quality will be evaluated and scored based on the following criteria:

1. **Cost effectiveness.** Highly-scored projects will exhibit economical returns in which the benefits, expected impacts on security, will be great relative to the financial investment.
2. **Feasibility.** Projects will be scored based on their likelihood of being successful.
3. **Timelines.** Projects will be evaluated and scored based on the expected ability of the applicant to complete the proposed project within the submitted timeframes.
4. **Sustainability without additional Federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without additional Federal assistance. Projects will receive additional preference based on the commitment of an applicant to provide a cash match or operational equivalent, regardless of amount and source.

Fast track training applications will be evaluated and ranked based on:

1. **Compliance** with the stated funding request caps.
2. **Ability** of the transit system to complete the training within the stated timeframe.
3. **Completeness** of the training cost matrix and associated Investment Justification.

Transit systems must use DHS-approved courses to complete the training. While DHS-approved vendors are preferred to conduct the training, transit agencies may use other vendors for training courses, provided such courses generally align with or exceed the

curriculum and performance measures set in the equivalent or analogous Federally-sponsored product. Transit systems must receive approval from DHS if they choose to use other vendors for their training courses. A list of approved courses and vendors is included as part of Appendix F.

**Section 5307 Grants from the U.S. Department of Transportation.** Recipients of Section 5307 grant funds from the U.S. Department of Transportation are required to allocate at least 1 percent of their annual award for security projects or certify that they do not need to allocate any of these funds for security projects.

### **C. Grant Application Support from DHS**

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

## PART III

# PROGRAM REQUIREMENTS

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

### A. General Program Requirements

The applicable SAAs will be responsible for administration of the FY 2008 TSGP<sup>11</sup>. In administering the program, the SAA must work with the eligible transit system(s) to comply with the following general requirements:

1. **Grant funds.** The SAA must obligate at least 97 percent of the funds awarded to designated awardees within 45 days of the receipt of funds<sup>12</sup>.
2. **Management and Administration limits.** A maximum of three percent (3%) of funds awarded may be retained by the SAA, and any funds retained are to be used solely for management and administrative purposes associated with the TSGP award. In addition, transit agencies receiving pass-through funds may use up to 2.5 percent of their sub-award for management and administration purposes<sup>13</sup>.
3. **Minimum project amounts.** There is no minimum amount for training projects that are submitted using the Training Cost Matrix. The minimum amount that may be requested for projects focused on non-fast track training and/or exercises is \$50,000. The minimum amount that may be requested for other projects is \$250,000.
4. **Grantee Cost Share requirement.** The maximum Federal cost share for all funded projects are as follows:
  - a. **Operational Packages:** Maximum Federal cost share is 2/3 of total cost. In FY 2009 it is anticipated that this cost share will be 50% of the full cost.
  - b. **Equipment, and Management and Administration Activities:** Maximum Federal cost share is 75% of total project cost.
  - c. **Planning, Public Awareness, Training and Exercises:** Maximum Federal cost share is 100% of total project cost.

In order to meet their cost share requirements, grantees must match Federal funds with an amount of non-Federal funds (cash or in-kind) equal to the non-Federal share of total project costs.

---

<sup>11</sup> As noted, Amtrak may apply for and receive a direct award.

<sup>12</sup> For purposes of the FY 2008 TSGP, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).

<sup>13</sup> Amtrak may retain a maximum of 3 percent of the funds awarded for management and administrative purposes associated with their TSGP award.

## B. Application Requirements.

The following steps must be completed using the on-line [grants.gov](http://www.grants.gov) system to ensure a successful application submission:

1. **Application via [grants.gov](http://www.grants.gov).** DHS participates in the Administration’s e-government initiative. As part of that initiative, all TSGP applicants must file their applications using the Administration’s common electronic “storefront” -- [grants.gov](http://www.grants.gov). Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.
2. **Application deadline.** Completed applications must be submitted to [grants.gov](http://www.grants.gov) no later than **11:59 PM EDT, March 17, 2008**.
3. **Valid Central Contractor Registration (CCR).** The application process also involves an updated and current registration by the applicant and the applicant’s Business Point of Contact through the CCR. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for FY 2008 TSGP funding through [grants.gov](http://www.grants.gov) at <http://www.grants.gov>.

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

4. **On-line application.** The on-line application must be completed and submitted using [grants.gov](http://www.grants.gov) after CCR registration is confirmed. The on-line application includes the following required forms and submissions:
  - Standard Form 424, Application for Federal Assistance
  - Standard Form 424B and/or 424D Assurances
  - Standard Form LLL, Disclosure of Lobbying Activities
  - Standard Form 424A, Budget Information
  - Certification Regarding Debarment, Suspension, and Other Responsibility Matters
  - Any additional required attachments

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “*Rail and Transit Security Grant Program*.” The CFDA number is **97.075**. When completing the on-line application, applicants should identify their submissions as new, non-construction applications.

5. **Project period.** The project period will be for a period not to exceed 36 months.

- 6. DUNS number.** The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within [grants.gov](http://grants.gov) and for CCR Registration. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505.
- 7. Investment Justifications.** As part of the application process, applicants must develop a formal investment justification that addresses each initiative being proposed for funding. These investment justifications must demonstrate how each proposed project addresses gaps and deficiencies in current programs and capabilities. The signatures of responsible officials from both the transit agency and the agency's transit security provider(s) serves as certification of agreement to submit each Tier I investment justification. Additional details and templates for the investment justification may be found in Appendix D.

Applicants may propose up to ten investments within their investment justification for individual systems and up to five investments for regional projects (regional projects are those involving two or more eligible systems within the region). Tier II investment justifications must be submitted with the application by March 17, 2008.

DHS will work with Tier I regions and agencies to develop project concepts for funding considerations. These concepts must be finalized by March 28, 2008. Tier I Investment Justifications will be due ninety days after award. After awards are issued, DHS will continue to work with the Tier I regions and agencies on their submitted Investment Justifications to clarify any details and resolve any outstanding issues, as necessary.

- 8. Detailed budget.** The applicant must also provide a detailed budget for the funds requested. The budget must be complete, reasonable and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs and any appropriate narrative. The budget should also demonstrate the required match. For fast track training initiatives, the training cost matrix will serve as the detailed budget. Detailed budgets for Tier II non- fast track investment justifications must be submitted with the investment justification by March 17, 2008. For Tier I applicants, budgets associated with proposed projects will be improved collaboratively with DHS as part of the cooperative agreement approach, and must be submitted with the investment justifications. Additional details and templates for the detailed budget may be found in Appendix E and in Appendix F for the training cost matrix.

## 9. Standard financial requirements.

**9.1 -- Non-supplanting certification.** This certification affirms that grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

**9.2 -- Assurances.** Assurances forms (SF-424B and SF-424D) can be accessed at [http://www07.grants.gov/agencies/approved\\_standard\\_forms.jsp](http://www07.grants.gov/agencies/approved_standard_forms.jsp) It is the responsibility of the recipient of the Federal funds to understand fully 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.

**9.3 -- Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement.** This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 44 CFR Part 17, which contains provisions for *Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)*; and 44 CFR part 18, *the New Restrictions on Lobbying*. All of these can be referenced at: [http://www.access.gpo.gov/nara/cfr/waisidx\\_07/44cfrv1\\_07.html](http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html) and [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/44cfrv1\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html)

## 10. Technology requirements

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

**10.2 -- Geospatial guidance.** Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). State, local, and industry partners are increasingly incorporating geospatial technologies and data in an effort to prevent, protect against, respond to, and recover from terrorist activity and incidents of national significance. DHS encourages grantees to align geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/grants>.

## 11. Administrative requirements

**11.1 -- Freedom of Information Act (FOIA).** DHS recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information under Federal control is subject to requests made pursuant to the FOIA, 5. U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the DHS FOIA Office, and may likely fall within one or more of the available exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. The applicant may also consult FEMA regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Protected Critical Infrastructure Information (6 CFR Part 29) and Sensitive Security Information (49 CFR Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

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

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

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

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000 et. seq.* – no person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance.
- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance.
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* –discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – no person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of or subjected to discrimination under any program or activity receiving Federal financial assistance.

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

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

### **11.5 -- -- Integrating individuals with disabilities into emergency planning.**

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

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

- **Guidelines for Accommodating Individuals with Disabilities in Disaster:** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center:** A web-based "Resource Center" that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The "Resource Center" is available at <http://www.disabilitypreparedness.gov>.
- *Lessons Learned Information Sharing (LLIS)* resource page on **Emergency Planning for Persons with Disabilities and Special Needs:** A true one-stop resource shop for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

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

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

- None of the funds made available through shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et. Seq.), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).
- None of the funds made available shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

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

The grantee shall provide any information requested by FEMA to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact EHP resources, including but not limited to communications towers, physical security enhancements, new construction, and modifications to buildings and structures that are 50 years old or older, cannot be initiated until FEMA has completed its review. Grantees may be required to provide detailed information about the project, including the following: location (street address or map coordinates); description of the project including any associated ground disturbance work, extent of modification of existing structures, construction equipment to be used, staging areas, access roads, etc.; year the existing facility was built; natural, biological, and/or cultural resources present in the project vicinity; visual documentation such as site and facility photographs, project plans, maps, etc.; and possible project alternatives.

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

Because of the potential for significant adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the costs and resources necessary for preparing such documents, as well as for the costs of any treatment or mitigation measures necessary to address potential adverse impacts.

Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

For more information on FEMA's EHP requirements, SAAs should refer to FEMA's Information Bulletin #271, *Environmental Planning and Historic Preservation Requirements for Grants*

### C. Transit Application Checklist

Specific guidance on applying through [grants.gov](https://www.grants.gov) is available in Appendix C.

**All FY 2008 TSGP applicants must complete the following:**

1. **SF-424 Grant application with certifications (through [grants.gov](https://www.grants.gov))**
  - Non-supplanting certification
  - SF-424B and/or SF-424D Assurances
  - SF-LLL Disclosure of Lobbying Activities
  - Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement
2. **DUNS number (through [grants.gov](https://www.grants.gov) form)**
3. **Investment Justification (through [grants.gov](https://www.grants.gov) file attachment)**
  - Responsible Transit Security Provider Signature Form
  - See Appendix D
4. **Detailed Budget/Training Cost Matrix (through [grants.gov](https://www.grants.gov) file attachment)**
  - See Appendices E and F
5. **Security Plan Certification Form**
  - See Appendix J
6. **Operational Expenses Certification Form (if applicable)**
  - See Appendix I

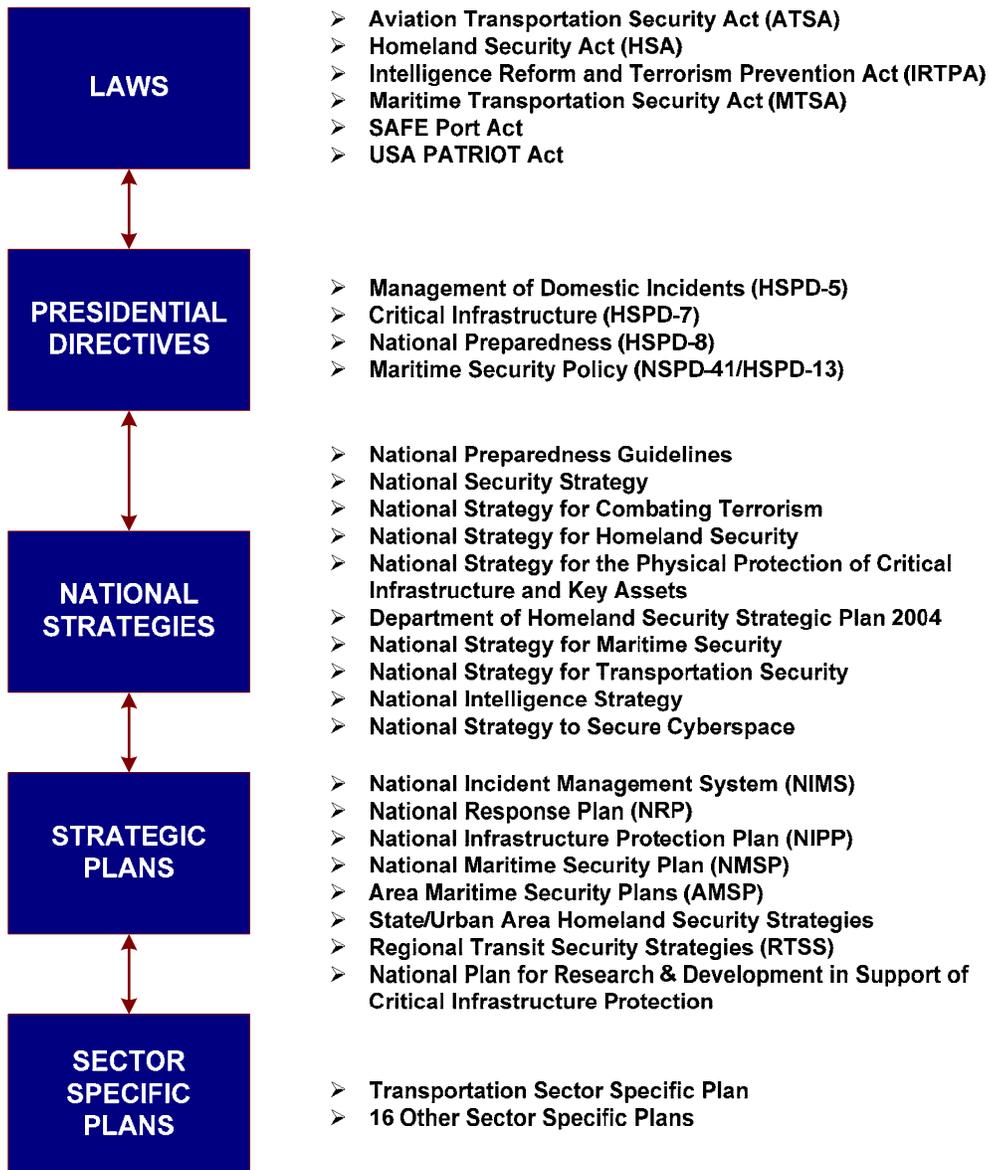
## Appendix A

# Alignment with the National Preparedness Architecture

Figure 1, below, graphically summarizes key elements of the national preparedness architecture.

**Figure 1**

### Laws, Strategy Documents, Directives and Plans That Impact the Grant Program



## Appendix B

# FY 2008 TSGP Allowable Expenses

### A. Overview

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

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

PL 110-53 limits how funds can be used for certain operating projects, especially those projects which include operational costs associated with security and counter-terrorism duties. Not more than 50 percent of the funds available for this grant program may be used for “operating uses” as outlined in PL 110-53 section 1406(b)(2)<sup>14</sup> which includes security training, exercises, public awareness campaigns, canine patrols, development of security plans, overtime reimbursement, and operational costs associated with security or counter-terrorism duties. Further, within the “operational costs” sub-category of “Operating uses”, which includes reimbursement of State, local, and tribal governments for costs for personnel assigned to full-time or part-time security or counterterrorism duties related to public transportation (i.e. OPacks), there is a limitation that grant funding used for this expense cannot total more than 10 percent of the total grant funds received by a public transportation agency in any 1 year<sup>15</sup>. Projects funded under a FY 2008 TSGP award must be consistent with the limitations imposed by PL 110-53.

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

**1. Planning Costs.** FY 2008 TSGP funds may be used for the following types of planning activities:

- Public education and outreach (such as reproduction of Transit Watch materials). Where possible, such activities should be coordinated with local Citizen Corps Council(s).
- Public alert and warning systems and security education efforts.
- Development and implementation of homeland security support programs and adoption of ongoing DHS national initiatives (including, for example, building or enhancing preventive radiological and nuclear detection programs).

---

<sup>14</sup> PL 110-53, Section 1406(m)(1)(B)

<sup>15</sup> PL 110-53, Section 1406(b)(2)(G)

- Development and enhancement of security plans and protocols.
- Development or further strengthening of security assessments, including multi-agency and multi-jurisdictional partnerships and conferences to facilitate planning activities.
- Hiring of full or part-time staff and contractors or consultants to assist with planning activities (not for the purpose of hiring public safety personnel).
- Materials required to conduct planning activities.
- Travel and per diem related to professional planning activities.
- Other project planning activities with prior approval from DHS.

**2. Operational Activities.** Three Operational Packages (OPacks) have been developed to support operational activities. These OPacks are available for funding to an eligible Tier I transit system that has a dedicated transit security/police force, a transit security operations dispatch center, and a daily unlinked ridership of 200,000 or greater. Certain law enforcement agencies are also eligible as sub-recipients of Tier I transit systems. Tier I transit systems that meet the eligibility requirements can apply for funding to support one or more of the three available OPacks. DHS considers OPacks to be effective tactics for supporting the FY 2008 funding priorities for the TSGP.

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

#### **A. Explosives Detection Canine Teams**

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

**B. Visible Intermodal Protection and Response (VIPR) Teams**

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

**C. Mobile Explosive Screening Team**

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

**Funding Availability for OPacks**

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

**Table 5: Available Funding for OPacks**

	<b>Operational Package</b>	<b>Funding per Year (12 months)</b>	<b>Funding per Period of Performance (30 months)</b>	<b>Federal Cost Share per Period of Performance (30months)</b>
1.	Explosives Detection Canine Teams	\$150,000 per team	\$375,000 per team	\$250,000 per team
2.	Visible Intermodal Protection and Response (VIPR) Teams	\$500,000 per team	\$1,250,000 per team	\$833,333 per team
3.	Mobile Explosive Screening Team	\$600,000 per team	\$1,500,000 per team	\$1,000,000 per team

**OPack Requirements**

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

**Table 6: OPack Requirements**

OPacks	Requirements
<p><b>1. Explosives Detection Canine Team</b></p>	<ul style="list-style-type: none"> <li>• Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization</li> <li>• Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification</li> <li>• The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program, the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement <sup>16</sup>)</li> <li>• Certifications should be on file with the SAA and must be made available to DHS upon request.</li> </ul>
<p><b>2. VIPR Team</b></p>	<ul style="list-style-type: none"> <li>• Specific for the Canine Team within the VIPR Team:                         <ul style="list-style-type: none"> <li>▪ Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization</li> <li>▪ Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification</li> <li>▪ The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program, the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement. 10</li> </ul> </li> <li>• The individuals hired for the covert and over elements must be properly trained law enforcement officers</li> <li>• Certifications should be on file with the SAA and must be made available to DHS upon request.</li> </ul>
<p><b>3. Mobile Explosives Screening Team</b></p>	<ul style="list-style-type: none"> <li>• Certifications should be on file with the SAA and must be made available to DHS upon request.</li> </ul>

<sup>16</sup> Training and certification information can be found at: <http://www.tsa.gov/lawenforcement/programs>, <http://www.npca.net>, <http://www.uspcak9.com>, and <http://www.bombdog.org>.

**Allowable Expenses for OPacks**

Table 7 identifies allowable expenses for the various OPacks. Please see the inserted footnotes for clarification of certain allowable costs.

**Table 7: Allowable Expenses for OPacks**

OPacks	Salary and Fringe Benefits	Training and Certification <sup>17</sup>	Equipment Costs	Purchase and Train a Canine	Canine Costs <sup>18</sup>
1. Explosives Detection Canine Team	✓	✓	✓	✓ <sup>19</sup>	✓
2. VIPR	✓	✓	✓	✓	✓
3. Mobile Explosives Screening Team	✓		✓ <sup>20</sup>		

**3. Equipment Acquisition Costs.** FY 2008 TSGP funds may be used for the following categories of equipment. A comprehensive listing of allowable equipment categories and types is found on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) at <https://www.rkb.us/lists.cfm>. These costs include:

- Explosive device mitigation and remediation equipment
- Terrorism incident prevention equipment
- Physical security enhancement equipment
- Cyber security enhancement equipment
- Detection equipment

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

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

<sup>17</sup> Travel costs associated with training for personnel, handlers, and canines are allowable.

<sup>18</sup> Canine costs include but are not limited to: veterinary, housing, and feeding costs.

<sup>19</sup> Training specific to the detection of common explosives odors is allowable.

<sup>20</sup> Equipment and other costs can include but are not limited to: explosives detection; stainless steel search tables; consumables such as gloves, swabs, and alcohol; and land mobile radios.

**4. Training Costs.** FY 2008 TSGP funds may be used for the following training activities:

- **Training workshops and conferences.** Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.
- **Certain full or part-time staff and contractors or consultants.** Full or part-time staff may be hired to support training-related activities. The services of contractors or consultants may also be procured by the State in the design, development, conduct and evaluation of CBRNE training. The applicant's formal written procurement policy or the Federal Acquisition Regulations must be followed.
- **Public Sector Overtime and backfill costs.** Payment of overtime expenses will be for work performed by award or sub-award employees of public agencies in excess of the established work week (usually 40 hours). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that it is DHS approved training. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act, Workers' Compensation and Unemployment Compensation.
- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending DHS-approved courses or DHS-sponsored technical assistance programs.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).
- **Other items.** These costs may include the rental of space/locations for planning and conducting training, badges, and similar materials.

**5. Exercise Costs.** FY 2008 TSGP funds may be used for the following exercise activities:

- **Exercise planning workshop.** Grant funds may be used to plan and conduct an exercise planning workshop, to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.
- **Certain full or part-time staff and contractors or consultants.** Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors or consultants may also be procured to support the design, development, conduct and evaluation of CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations must be followed.
- **Overtime and backfill costs.** Overtime and backfill costs associated with the design, development and conduct of CBRNE exercises are allowable expenses. Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is a DHS sponsored exercise. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to the Federal Insurance Contributions Act, Workers' Compensation and Unemployment Compensation.
- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s).
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **Other Items.** These costs may include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.

**6. Management and Administration (M&A) costs.** FY 2008 TSGP funds may be used for the following M&A costs:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of the FY 2008 TSGP or the design, requirements, and implementation of the TSGP.
- Hiring of full-time or part-time staff, contractors or consultants and M&A expenses related to pre-application submission management activities and application requirements or meeting compliance with reporting/data collection requirements, including data calls.
- Development of operating plans for information collection and processing necessary to respond to DHS data calls.
- Travel expenses.
- Meeting-related expenses
- Acquisition of authorized office equipment, including personal computers or laptops

## **B. Unallowable Costs**

Specific unallowable costs include:

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition
- Personnel costs (except as detailed above) in Section A.
- Activities unrelated to the completion and implementation of the TSGP
- Other items not in accordance with the AEL or otherwise listed as allowable costs in this guidance

## Appendix C

# Grants.Gov Quick-Start Instructions

DHS participates in the Administration’s e-government initiative. As part of that initiative, all applicants must file their applications using the Administration’s common electronic “storefront” -- [grants.gov](http://www.grants.gov). Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

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

This Appendix is intended to provide guidance on the various steps and activities associated with filing an application using [grants.gov](http://www.grants.gov).

### Step 1: Registering.

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

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

Go to [www.grants.gov](http://www.grants.gov), and click on the “Get Started” tab at the top of the screen.

- Click the “e-Business Point of Contact” option and click the “GO” button on the bottom right of the screen. If you have already registered with [grants.gov](http://www.grants.gov), you may log in and update your profile from this screen.
- To begin the registration process, click the “Register your Organization [Required]” or “Complete Registration Process [Required]” links. You may print a registration checklist by accessing [www.grants.gov/assets/OrganizationRegCheck.pdf](http://www.grants.gov/assets/OrganizationRegCheck.pdf).

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

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

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

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

- Go to <http://www.ccr.gov> or click on the CCR icon in the middle of the screen to begin the registration process. To see if your organization is already registered, click “Search CCR” at the top left side of the screen. Search entries must be exact to accurately search the database. If your organization is already registered, you can scroll down and see who the e-Business point of contact is for your agency. If your organization is not already registered, return to the CCR home page and click “Start New Registration” at the top left of the screen.
- If you have problems or questions about the CCR registration process, please contact the CCR Assistance Center at (888) 227–2423.
- Once your registration is complete, you will receive an e-mail with a Trading Partner Identification Number (TPIN) and Marketing Partner Identification Number (MPIN) number. You will need the MPIN number to register with [grants.gov](http://grants.gov). If your organization is already registered with the CCR, you will need to obtain the MPIN number from your e-Business POC.

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

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

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

- Go to [www.grants.gov](http://www.grants.gov) and click on the “Get Started” tab at the top of the screen.
- Click the “Authorized Organization Representative (AOR)” option and click the “GO” button to the bottom right of the screen. If you are applying as an individual, click the “Individuals” option and click the “GO” button to the bottom right of the screen.
- If you have previously registered as an AOR, you may start searching for this grant opportunity from this page. Otherwise, you must complete the first-time registration by clicking “Complete First-Time Registration [Required].” You also may click on “Review Registration Checklist” and print a checklist for the following steps (see [www.grants.gov/assets/AORRegCheck.pdf](http://www.grants.gov/assets/AORRegCheck.pdf)).
- Individuals may click the “registration checklist” for help in walking through the registration process.

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

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

**8. Grants.gov.** After completing the credential provider steps above, click “Step 2. Register with [grants.gov](http://grants.gov).” Enter the same user name and password used when registering with the credential provider. You will then be asked to provide identifying information and your organization’s DUNS number. After you have completed the registration process, [grants.gov](http://grants.gov) will notify the e-Business POC for assignment of user privileges.

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

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

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

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

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

- From the [grants.gov](http://www.grants.gov) home page, select the “Apply for Grants” tab at the top of the screen.
- Under “Apply Step 1: Download a Grant Application Package and Applications Instructions,” click the link for the PureEdge Viewer (<http://www.grants.gov/DownloadViewer>). This window includes information about computer system requirements and instructions for downloading and installation.

If you are a Macintosh user, please read the PureEdge Support for Macintosh white paper available at

[www.grants.gov/GrantsGov\\_UST\\_Grantee!/SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee!/SSL!/WebHelp/MacSupportforPureEdge.pdf).

- Scroll down and click on the link to download the PureEdge Viewer ([www.grants.gov/PEViewer/ICSViewer602\\_grants.exe](http://www.grants.gov/PEViewer/ICSViewer602_grants.exe)).
- You will be prompted to save the application. Click the “Save” button and the “Save As” window opens. Select the location where you would like to save PureEdge Viewer and click the “Save” button.
- A window appears to show the progress of the download. When the downloading is complete, click to close the dialog box.

- To install the PureEdge Viewer, locate the file on your computer and click to open it. When you are prompted to run the file, click “RUN.” Click “Yes” to the prompt to continue with the installation. The ICS InstallShield Wizard extracts the necessary files and takes you to the “Welcome” page.
- Click “Next” to continue.
- Read the license agreement and click “Yes” to accept the agreement and continue the installation process. This takes you to the “Customer Information” screen.
- Enter a User Name and a Company Name in the designated fields and click “Next.”
- The “Choose Destination Location” window prompts you to select the folder in which PureEdge Viewer will be installed. To save the program in the default folder, click “Next.” To select a different folder, click “Browse.” Select the folder in which you would like to save the program, click on “OK,” then click “Next.”
- The next window prompts you to select a program folder. To save program icons in the default folder, click “Next.” To select a different program folder, type a new folder name or select one from the list of existing folders, then click “Next.” Installation will begin.
- When installation is complete, the “InstallShield Wizard Complete” screen will appear. Click “Finish.” This will launch the “ICS Viewer Help Information” window. Review the information and close the window.

### **Step 3: Downloading an Application Package.**

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

- From the [grants.gov](https://www.grants.gov) home page, select the “Apply for Grants” tab at the top of the screen.
- Click “Apply Step 1: Download a Grant Application Package and Application Instructions.”
- Enter the CFDA number for this announcement, **97.075**. Then click “Download Package.” This will take you to the “Selected Grants Application for Download” results page.
- To download an application package and its instructions, click the corresponding download link below the “Instructions and Application” column.

- Once you select a grant application, you will be taken to a “Download Opportunity Instructions and Application” screen to confirm that you are downloading the correct application. If you would like to be notified of any changes to this funding opportunity, enter your e-mail address in the corresponding field, then click the “Submit” button.
- After verifying that you have downloaded the correct opportunity information, click the “Download Application Instructions” button. This will open a PDF of this grant solicitation. You may print the solicitation or save it to your computer by clicking either the print icon at the top tool bar or the “File” button on the top tool bar. If you choose to save the file, click on “Save As” and save to the location of your choice.
- Click the “Back” Navigation button to return to the “Download Opportunity Instructions and Application” page. Click the “Download Application Package” button. The application package will open in the PureEdge Viewer.
- Click the “Save” button to save the package on your computer. Because the form is not yet complete, you will see a prompt that one or more fields may be invalid. You will complete these fields in step 4, but for now, select “Yes” to continue. After you click “Yes,” the “Save Form” window will open.
- Save the application package to your desktop until after submission. Select a name and enter it in the “Application Filing Name” field. Once you have submitted the application through [grants.gov](https://grants.gov), you may then move your completed application package to the file location of your choice.
- Click the “Save” button. If you choose, you may now close your Internet browser and complete your application package offline by double clicking the icon on your desktop. You do not have to be connected to the Internet to complete the application package in step 4 below.

#### **Step 4: Completing the Application Package.**

This application can be completed entirely offline; however, you will need to log in to [grants.gov](https://grants.gov) to submit the application in step 5.

- Locate the application package you saved on your computer. When you open the package, it will be in PureEdge Viewer. You may save your application at any time by clicking on the “Save” button at the top of the screen.
- Enter a name for your application package in the “Application Filing Name” field. This can be a name of your choice.

- Open and complete all the mandatory and optional forms or documents. To complete a form, click to select the form, and then click the “Open” button. When you open a required form, the mandatory fields will be highlighted in yellow. If you enter incomplete information in a mandatory field, you will receive an error message or the field will turn red, indicating a change needs to be made.
- Mandatory forms include the: (1) Application for Federal Assistance (SF-424); (2) Assurances for Non-Construction Programs (SF-424B); and (3) Disclosure of Lobbying Activities (SF-LLL). These forms can also be viewed at <http://apply.grants.gov/agency/FormLinks?family=7>. Other mandatory forms are identified in Section IV.
- When you have completed a form or document, click the “Close Form” button at the top of the page. Your information will automatically be saved.
- Next, click to select the document in the left box entitled “Mandatory Documents.” Click the “=>” button to move the form or document to the “Mandatory Completed Documents for Submission” box to the right.
- Some mandatory documents will require you to upload files from your computer. To attach a document, select the corresponding form and click “Open.” Click the “Add Mandatory Attachment” button to the left. The “Attach File” box will open. Browse your computer to find where your file is located and click “Open.” The name of that file will appear in the yellow field. Once this is complete, if you would like to attach additional files, click on the “Add Optional Attachment” button below the “Add Mandatory Attachment” button.
- An “Attachments” window will open. Click the “Attach” button. Locate the file on your computer that you would like to attach and click the “Open” button. You will return to the “Attach” window. Continue this process until you have attached all the necessary documents. You may attach as many documents as necessary.
- Once you have finished, click the “Done” button. The box next to the “Attach at Least One Optional Other Attachment” will now appear as checked.
- *Note:* the name of these buttons will vary depending on the name of the form you have opened at that time; i.e., Budget Narrative, Other Attachment, and Project Narrative File.
- To exit a form, click the “Close” button. Your information will automatically be saved.

### Step 5: Submitting the Application.

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

- When you are ready to submit your final application package, the “Submit” button at the top of your screen will be enabled. This button will not be activated unless all mandatory data fields have been completed. When you are ready to submit your application, click on “Submit.” This will take you to a “Summary” screen.
- If your “Submit” button is not activated, then click the “Check Package for Errors” button at the top of the “Grant Application Package” screen. PureEdge Viewer will start with the first form and scan all the yellow fields to make sure they are complete. The program will prompt you to fix one error at a time as it goes through the scan. Once there are no more errors, the system will allow you to submit your application to [grants.gov](https://grants.gov).
- Review the application summary. If you wish to make changes at this time, click “Exit Application” to return to the application package, where you can make changes to the forms. To submit the application, click the “Sign and Submit Application” button.
- This will take you to a “Login” screen where you will need to enter the user name and password that you used to register with [grants.gov](https://grants.gov) in “Step 1: Registering.” Enter your user name and password in the corresponding fields and click “Login.”
- Once authentication is complete, your application will be submitted. Print this confirmation screen for your records. You will receive an e-mail message to confirm that the application has been successfully uploaded into [grants.gov](https://grants.gov). The confirmation e-mail will give you a [grants.gov](https://grants.gov) tracking number, which you will need to track the status of your application. The confirmation e-mail will go to the e-Business POC; therefore, if you are submitting on behalf of someone else, be sure the e-Business POC is aware of the submission and that a confirmation e-mail will be sent.
- When finished, click the “Close” button.

## Step 6: Tracking the Application.

After your application is submitted, you may track its status through [grants.gov](https://www.grants.gov). To do this, go to the [grants.gov](https://www.grants.gov) home page at <http://www.grants.gov>. At the very top of the screen, click on the “Applicants” link. Scroll down the “For Applicants” page and click the “Login Here” button. Proceed to login with your user name and password that was used to submit your application package. Click the “Check Application Status” link to the top left of the screen. A list of all the applications you have submitted through [grants.gov](https://www.grants.gov) is produced. There four status messages your application can receive in the system:

- **Validated.** This means your application has been scanned for errors. If no errors were found, it validates that your application has successfully been submitted to [grants.gov](https://www.grants.gov) and is ready for the agency to download your application.
- **Received by Agency.** This means our agency DHS downloaded your application into our electronic Grants Management System (GMS) and your application is going through our validation process to be successfully received on our end.
- **Agency Tracking Number Assigned.** This means our GMS did not find any errors with your package and successfully downloaded your application into our system.
- **Rejected With Errors.** This means your application was either rejected by [grants.gov](https://www.grants.gov) or GMS due to errors. You will receive an e-mail from [grants.gov](https://www.grants.gov) customer support, providing details of the results and the next steps required. Most applications are rejected because: (1) a virus was detected; (2) you are using a user name and password that has not yet been authorized by the organization’s e-Business POC; or (3) the DUNS number you entered on the SF-424 form does not match the DUNS number that was registered in the CCR for this organization.

If you experience difficulties at any point during this process, please call the [grants.gov](https://www.grants.gov) customer support hotline at 1–800–518–4726.

## Appendix D

# Investment Justification

### A. Investment Justification Overview

As part of the FY 2008 TSGP application process, applicants must develop an Investment Justification that addresses each initiative being proposed for funding. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities.

Applicants may propose up to ten investments within their Investment Justification for individual systems and up to five investments for regional projects (regional projects are those involving two or more eligible systems within the region). Tier II Investment Justifications must be submitted with the application by March 17, 2008. Tier I Investment Justifications for rail, ferry, and intracity bus projects must be submitted to DHS by the appropriate SAA no later than 90 days from the date the grant is awarded by DHS. Formal projects and investment justifications will be improved collaboratively between the regions and DHS after the awards have been made in accordance with the cooperative agreement approach.

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

As a reminder, completed Applications must be submitted to DHS via [grants.gov](http://grants.gov) no later than 11:59 PM EDT, March 17, 2008. Tier I regions must only submit an SF-424 for the regional allocation amount by March 17, 2008. Tier II systems must submit an SF-424, an investment justification, and a detailed budget for each project by March 17, 2008.

### B. Investment Justification Template

TSGP applicants must submit a complete investment justification for each proposed non-fast track training investment. The investment justification categories are:

1. Background
2. Strategic and Program Priorities
3. Impact
4. Funding/Implementation Plan

For fast track training investments, TSGP applicants must provide information for the following questions only:

- Investment Heading
- I.A: Identify the transit agency and that agency’s point(s) of contact for this investment
- I.B: Describe the operating system for the transit agency undertaking this investment
- I.C: Discuss current and required capabilities of the transit agency undertaking this investment (as related to employee security training)
- II.A: Provide a brief abstract for this investment
- III.B: Discuss how the implementation of this investment will decrease or mitigate risk
- IV.A: Investment Funding Plan
- IV.E: Provide a high-level timeline, milestones and dates, for the implementation of this investment

The noted page limits are suggestions only.

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

### I. Background

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

I.A. Identify the transit agency and that agency’s point(s) of contact for this investment.	
Response Type	<b>Narrative</b>
Page Limit	<b>Not to exceed ½ page</b>
Response Instructions	<p><b>For the transit agency (or lead agency) undertaking the investment, identify the following:</b></p> <ul style="list-style-type: none"> <li>• Point of contact’s (POC) name and title;</li> <li>• POC’s full mailing address;</li> <li>• POC’s telephone number;</li> <li>• POC’s fax number;</li> <li>• POC’s email address; and,</li> <li>• Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.</li> </ul>
Response:	

I.B. Describe the operating system for the transit agency undertaking this investment.	
Response Type	Narrative
Page Limit	Not to exceed 2 pages
Response Instructions	<p>For the transit agency (or lead agency) undertaking this investment, describe the following:</p> <ul style="list-style-type: none"> <li>• Infrastructure;</li> <li>• Ridership data;</li> <li>• Number of passenger miles;</li> <li>• Number of vehicles;</li> <li>• Types of service and other important features;</li> <li>• System map;</li> <li>• Geographical borders of the system and the cities and counties served; and,</li> <li>• Other sources of funding being leveraged for security enhancements</li> </ul>
Response	

I.C. Discuss <u>current</u> and <u>required</u> capabilities of the transit agency undertaking this investment.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	<p>For the transit agency undertaking this investment, describe the following:</p> <ul style="list-style-type: none"> <li>• Discuss the transit agency’s <i>current</i> efforts to protect any underwater tunnel infrastructure from attacks involving IEDs: <ul style="list-style-type: none"> <li>○ Specific attention should be paid to any enhancements achieved as a result of FY05/06/07 TSGP funding;</li> </ul> </li> <li>• Discuss the transit agency’s <i>current</i> prevention, detection and response capabilities relative to IEDs and CBRN devices generally: <ul style="list-style-type: none"> <li>○ Specific attention should be paid to any enhancements in these capabilities achieved as a result of FY05/06/07 TSGP funding;</li> </ul> </li> <li>• Discuss the transit agency’s <i>current</i> visible and unpredictable deterrent efforts: <ul style="list-style-type: none"> <li>○ Specific attention should be paid to any enhancements in these efforts achieved as a result of FY05/06/07 TSGP funding;</li> </ul> </li> <li>• Discuss the transit agency’s <i>current</i> additional high consequence risk mitigation efforts, visible and unpredictable deterrent efforts, training programs for employees, emergency drills and citizen awareness activities: <ul style="list-style-type: none"> <li>○ Specific attention should be paid to any enhancements in these capabilities achieved as a result of FY05/06/07 TSGP funding;</li> </ul> </li> <li>• Discuss the transit agency’s <i>requirements</i> relative to protection of any underwater tunnel infrastructure from attacks involving IEDs;</li> <li>• Discuss the transit agency’s <i>required</i> prevention, detection and response capabilities relative to IEDs and CBRN devices (including sensors, canine units, etc.);</li> <li>• Discuss the transit agency’s <i>required</i> visible/unpredictable deterrent needs; and,</li> <li>• Discuss the transit agency’s <i>required</i> high consequence risk mitigation needs, anti-terrorism training programs for employees, emergency drills and citizen awareness activities.</li> </ul>
Response	

## II. Strategic and Program Priorities

II.A. Provide a brief abstract for this investment.	
Response Type	<b>Narrative</b>
Page Limit	<b>Not to exceed 1 page</b>
Response Instructions	<b>Provide a succinct statement summarizing this investment.</b>
Response	

II.B. Describe how this investment specifically addresses one or more of the transit security fundamentals identified in the FY 2008 TSGP Guidance.	
Response Type	<b>Narrative</b>
Page Limit	<b>Not to exceed ½ page</b>
Response Instructions	<p><b>Describe how the investment addresses one or more of the following:</b></p> <ul style="list-style-type: none"> <li>• <b>Training, operational deterrence, drills, public awareness activities</b></li> <li>• <b>Multi-user high-density key infrastructure protection</b></li> <li>• <b>Single-user high-density key infrastructure protection</b></li> <li>• <b>Key operating asset protection</b></li> <li>• <b>Response and recovery</b></li> <li>• <b>Other</b></li> </ul>
Response	

II.C. Describe the relevance of the investment to the <i>National Preparedness Guidelines</i> , and the <i>National Strategy for Transportation Security</i> .	
Response Type	<b>Narrative</b>
Page Limit	<b>Not to exceed ½ page</b>
Response Instructions	<ul style="list-style-type: none"> <li>• <b>Explain how this investment will support one or more of the following <i>National Preparedness Priorities</i>:</b> <ul style="list-style-type: none"> <li>○ <b>Expanding regional collaboration;</b></li> <li>○ <b>Implementing the National Incident Management System and the National Response Plan;</b></li> <li>○ <b>Implementing the National Infrastructure Protection Plan;</b></li> <li>○ <b>Strengthening information sharing and collaboration capabilities;</b></li> <li>○ <b>Enhancing interoperable communications capabilities; and,</b></li> <li>○ <b>Strengthening CBRNE detection and response capabilities.</b></li> </ul> </li> <li>• <b>Explain how this investment will support the goals of the <i>National Strategy for Transportation Security</i>; and,</b></li> <li>• <b>Explain how this investment will support one or more of the 37 Capabilities within the Target Capabilities List.</b></li> </ul>
Response	

<p><b>II.D. Describe the relevance of this investment to the transit agency’s required security plan, Regional Transit Security Strategy, and applicable State and/or Urban Area Homeland Security Strategy. For Tier 1 transit agencies, include relevance to region’s prioritized list of security-related investments.</b></p>	
Response Type	<b>Narrative</b>
Page Limit	<b>Not to exceed ½ page</b>
Response Instructions	<ul style="list-style-type: none"> <li>• <b>Outline how investment specifically addresses the transit agency’s required security plan;</b></li> <li>• <b>Identify how investment supports other applicable regional and state homeland security planning efforts.</b></li> </ul> <p><i>Note: The SAA should provide a brief confirmation of the relevance of the proposed investment to the applicable State or regional plan within this field.</i></p>
Response:	

**III. Impact**

<p><b>III.A. Discuss the anticipated impacts of this investment and how the requested funding will help attain/achieve expected impacts. Consider the areas affected, and other entities (smaller transit systems, jurisdictions, disciplines) that could leverage the outcomes and impacts of the solution presented by this investment.</b></p>	
Response Type	<b>Narrative</b>
Page Limit	<b>Not to exceed ½ page</b>
Response Instructions	<ul style="list-style-type: none"> <li>• <b>Outline the expected, high-level impacts this investment is expected to attain or achieve if implemented, and potential negative impacts if the investment is not implemented;</b></li> <li>• <b>Explain at a high level how TSGP funding will help achieve these impacts. (Do not include specific information as to the amount or type of funding requested. This information should be provided in Section IV.);</b></li> <li>• <b>Ensure this response links the identified impacts to specific geographic and demographic areas outlined; and,</b></li> <li>• <b>Ensure this response identifies other transit systems, jurisdictions and disciplines that may benefit from an outcome or a solution presented by this investment.</b></li> </ul>
Key Definitions:	<p><b>Impact refers to the effect that this investment will have on the identified geographic and demographic areas.</b></p> <p><b>Outcome refers to a tangible result that can be measured and evaluated.</b></p>
Response	

III.B. Discuss how the implementation of this investment will decrease or mitigate risk.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> <li>• Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) by addressing the needs and priorities identified in earlier analysis and review; and,</li> <li>• Identify the nature of the risk and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event).</li> </ul>
Response	

III.C. Describe what the potential homeland security risks of not funding this investment are.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> <li>• Consider the risks that already exist and will be more prevalent and/or any new risks that will result if this investment is not funded and implemented; and,</li> <li>• Briefly discuss potential outcomes if this risk is not addressed – explain what vulnerabilities will not be reduced or what potential consequences will not be mitigated.</li> </ul>
Response	

#### IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Numeric and Narrative
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> <li>• Include a narrative response below certifying how the cost share requirement will be met, where applicable</li> <li>• Complete the chart below to identify the amount of funding being requested for <b>this investment only</b>;</li> <li>• Funds should be requested by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration.);</li> <li>• Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and,</li> <li>• Applicants must indicate whether additional funding (non-FY 2008 TSGP) will be leveraged for this investment.</li> </ul> <p><i>Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment. See Appendix E of this document for a sample format.</i></p>
Response	

The following template illustrates how applicants should indicate the amount of FY 2008 TSGP funding required for the investment, how these funds will be allocated across the cost elements, and what non-FY 2008 TSGP funds will be utilized including the cost share requirement, where appropriate:

	FY 2008 TSGP Request Total	Other Funding Sources Applied (including cost share required)	Grand Total
<i>Planning</i>			
<i>Operational Packages</i>			
<i>Equipment</i>			
<i>Training</i>			
<i>Exercises</i>			
<i>M&amp;A</i>			
<b>Total</b>			

IV.B. Identify up to five potential challenges to the effective implementation of this investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).	
Response Type	<b>Narrative</b>
Page Limit	<b>Not to exceed ½ page</b>
Response Instructions	<ul style="list-style-type: none"> <li>• <b>For each identified challenge, provide a brief description of how the challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low);</b></li> <li>• <b>The response should focus on the implementation only;</b></li> <li>• <b>Consider the necessary steps and stages that will be required for successful implementation of the investment;</b></li> <li>• <b>Identify areas of possible concern or potential pitfalls in terms of investment implementation; and,</b></li> <li>• <b>Explain why those areas present the greatest challenge to a successful investment implementation.</b></li> </ul>
Response	

IV.C. Describe the management team, including roles and responsibilities, that will be accountable for the oversight and implementation of this investment, and the overall management approach they will apply for the implementation of this investment.	
Response Type	<b>Narrative</b>
Page Limit	<b>Not to exceed ½ page</b>
Response Instructions	<ul style="list-style-type: none"> <li>• <b>Provide the high-level skill sets (e.g., budget execution, grant administration, geospatial expert, outreach and communication liaison) that members of the management team must possess for the successful implementation and oversight of the investment;</b></li> <li>• <b>Discuss how those skill sets fulfill the oversight and execution responsibilities for the investment, and how the management roles and responsibilities will be distributed/assigned among the management team; and,</b></li> <li>• <b>Explain how the management team members will organize and work together in order to successfully manage the investment.</b></li> </ul>
Response	

<b>IV.D. Discuss funding resources beyond FY 2008 TSGP that have been identified and will be leveraged to support the implementation and sustainment of this investment.</b>	
<b>Response Type</b>	<b>Narrative</b>
<b>Page Limit</b>	<b>Not to exceed ½ page</b>
<b>Response Instructions</b>	<ul style="list-style-type: none"> <li>• <b>Discuss other funding sources (e.g., non-TSGP grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment;</b></li> <li>• <b>If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY 2008 TSGP funding is sufficient for the implementation and sustainment of this investment; and,</b></li> <li>• <b>Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance. Investments will also be evaluated on the ability of the transit agency to provide the required cash match or operational equivalent regardless of amount and source.</b></li> </ul>
<b>Response</b>	

<b>IV.E. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. <u>Up to</u> 10 milestones may be provided.</b>	
<b>Response Type</b>	<b>Narrative</b>
<b>Page Limit</b>	<b>Not to exceed 1 page</b>
<b>Response Instructions</b>	<ul style="list-style-type: none"> <li>• <b>Only include major milestones that are critical to the success of the investment;</b></li> <li>• <b>While up to 10 milestones may be provided, applicants should only list as many milestones as necessary;</b></li> <li>• <b>Milestones are for this discrete investment – those that are covered by the requested FY 2008 TSGP funds and will be completed over the 36-month grant period;</b></li> <li>• <b>Milestones should be kept to high-level, major tasks that will need to occur;</b></li> <li>• <b>Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone;</b></li> <li>• <b>Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and,</b></li> <li>• <b>List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).</b></li> </ul>
<b>Response</b>	

IV.F. Describe the planned duration for this overall investment. Discuss your long-term sustainability plans for the investment after your FY 2008 TSGP funds have been expended, if applicable.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> <li>• Give the expected total life-span for this investment if fully implemented and sustained through completion;</li> <li>• Consider how this investment will be sustained and funded after FY 2008 TSGP funds are expended, if applicable;</li> <li>• Include information about resource needs (e.g., personnel, processes, and tools), as well as critical governance needs; and,</li> <li>• List critical milestones that are outside of the FY 2008 TSGP grant period, and how those milestones will be met with the identified funding and resources.</li> </ul>
Response	

IV.G. Describe the technical implementation plan for this investment. Discuss the advantages of the solution proposed.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> <li>• Define the vision, goals, and objectives for the risk reduction, and summarizes how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols);</li> <li>• Describe the specific needs and/or resource limitations that need to be addressed;</li> <li>• Identify any potential partners and their roles and staffing requirements, and provide information on any existing agreements such as Memoranda of Understanding (MOU);</li> <li>• Identify specific equipment needs (e.g., number of facility cameras, number of security lights, amount of security fencing, etc.) and other details for training, awareness, exercises, and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed materials, number of agencies and staff members involved in exercise planning, execution, and review);</li> <li>• Describe progress made on the security project this investment will be completing, if applicable; and,</li> <li>• Reference use of prior year grant funds, if applicable.</li> </ul>
Response	

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

### C. Investment Justification Submission and File Naming Convention

Investment Justifications must be submitted with the grant application as a file attachment within [grants.gov](http://grants.gov). Applicants must use the following file naming convention when submitting the Investment Justifications as part of the FY 2008 TSGP:

#### Investment Justification (through [grants.gov](http://grants.gov) file attachment)

State\_Region\_ IJ Number (Example: CO\_Denver\_IJ\_1)

## Responsible Transit Security Provider Investment Justification Approval Form

<b>Name of Investment Justification</b>	
Name	
Title	
Signature of Responsible Transit Agency Security Provider	
Name	
Title	
Signature of Transit Agency	
<b>Name of Investment Justification</b>	
Name	
Title	
Signature of Responsible Transit Agency Security Provider	
Name	
Title	
Signature of Transit Agency	
<b>Name of Investment Justification</b>	
Name	
Title	
Signature of Responsible Transit Agency Security Provider	
Name	
Title	
Signature of Transit Agency	
<b>Name of Investment Justification</b>	
Name	
Title	
Signature of Responsible Transit Agency Security Provider	
Name	
Title	
Signature of Transit Agency	

## Appendix E Sample Budget Detail Worksheet

OMB Approval No. 1121-0188

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project.

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

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

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

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

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

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

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

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

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

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

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

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

**G. Other Costs.** List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

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

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

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

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

**H. Indirect Costs.** Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant’s cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant’s accounting system permits, costs may be allocated in the direct costs categories.

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

TOTAL \_\_\_\_\_

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

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

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

Non-Federal Cost Share \_\_\_\_\_

**Detailed Budget Submission and File Naming Convention**

Investment Justifications must be submitted with the grant application as a file attachment within [grants.gov](http://grants.gov). Applicants must use the following file naming convention when submitting Detailed Budgets as part of the FY 2008 TSGP:

**Detailed Budget (through [grants.gov](http://grants.gov) file attachment)**  
 State\_Region\_IJ Number\_Budget (Example: CO\_Denver\_IJ#1\_Budget)

## Appendix F Training Cost Matrix and Vendor/Course List

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

U.S. DEPARTMENT OF HOMELAND SECURITY – TRANSIT SECURITY GRANT PROGRAM

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

U.S. DEPARTMENT OF HOMELAND SECURITY – TRANSIT SECURITY GRANT PROGRAM

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

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

The vendors providing the training do not necessarily need to be DHS-approved vendors. Please try and schedule your training with one of the approved vendors listed in the above table. If for some reason you are having difficulties scheduling the training with an approved vendor, or no approved vendors have been identified, you may identify other vendors to provide the training provided you alert DHS prior to conducting the training.

Training must be completed within 24 months.

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

**Option A**

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

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

**National Transit Institute (NTI)**

120 Albany Street

Tower Two, Suite 250

New Brunswick, NJ 08901-2163

POC: Coleen Meyer, Senior Program Coordinator, Workplace Safety and Security; 732-932-1700, ext. 231

**Transportation Safety Institute (TSI)**

Transit Safety & Security Division

RTI-80 P. O. Box 25082

Oklahoma City, OK 73125-9967

POC: Radonna Snider, Program Analyst; 405-954-4799

**Johns Hopkins University (JHU)**

6740 Alexander Bell Drive # 200

Columbia, MD 21046

POC: Dr. Phyllis McDonald; 410-312-4413

**Option B**

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

Transit agencies may use the Federally-sponsored providers of training courses listed in Table 7 below. Information on the courses and providers is available in the FEMA National Preparedness Directorate, Training and Education Division catalog: at [http://www.ojp.usdoj.gov/odp/docs/TED\\_Course\\_Catalog2007.pdf](http://www.ojp.usdoj.gov/odp/docs/TED_Course_Catalog2007.pdf). Courses in this category have identifiers 'AWR', 'PER', 'ICS', and 'IS' in Table 7 below.

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

### **Option C**

*Transit agencies may use other vendors for training courses.*

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

Table 8 below contains the course headings as listed in the training cost matrix, approved course titles, and a list of training vendors that are qualified to teach each course. As outlined above, however, transit agencies may use other vendors for training courses and other courses, provided the courses align with or exceed the curriculum for the DHS-approved course and are approved by DHS.

### **Train-the-Trainer Options: Key Subject Areas**

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

DHS has identified additional “train-the-trainer” course opportunities in Security Awareness, Behavior Recognition, and Immediate Emergency Response. These opportunities are listed in Table 9 below. Train-the-trainer courses enable the transit system to gain certification for designated employees who can then conduct the training for your agency. This option affords an opportunity to build an “in house” training infrastructure. If a transit system received funds for one of those training courses, they may elect to send select employees to those train-the-trainer courses so that those employees could then teach the course to the rest of the frontline employees who were approved to receive the training. All training must still be completed with the awarded funding; no additional funding will be provided under this option.

**Table 8: Approved Course and Vendor List**

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

U.S. DEPARTMENT OF HOMELAND SECURITY – TRANSIT SECURITY GRANT PROGRAM

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

**Table 9: Train-the-Trainer Courses**

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

### Using the Training Cost Matrix

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

#### To use the TSGP Training Cost Matrix:

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

### Training Cost Matrix Submission and File Naming Convention

The training cost matrix must be submitted with the grant application as a file attachment within [grants.gov](http://grants.gov). Applicants must use the following file naming convention when submitting Training Cost Matrices:

#### Training Cost Matrix (through [grants.gov](http://grants.gov) file attachment)

State\_Region\_IJ Number\_Training Cost Matrix (Example: CO\_Denver\_IJ#1\_Training Cost Matrix)

If you have any questions regarding the Training Cost Matrix, or the FY 2008 TSGP, please contact the Centralized Scheduling and Information Desk (CSID) at [askcsid@dhs.gov](mailto:askcsid@dhs.gov) or 1-800-368-6498 between 8:00 a.m. and 6:00 p.m. EST.

## **Appendix G**

# **Award and Reporting Requirements**

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

### **A. Grant Award and Obligation of Funds**

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

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

Awards made to SAAs under this program carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to units of local governments, combinations of local units, or other specific groups or organizations. The State’s pass-through period must be met within 45 days of the award date for the TSGP<sup>21</sup>. Four requirements must be met to pass-through grant funds:

- There must be some action to establish a firm commitment on the part of the awarding entity
- The action must be unconditional (i.e., no contingencies for availability of SAA funds) on the part of the awarding entity
- There must be documentary evidence of the commitment
- The award terms must be communicated to the official grantee

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

---

<sup>21</sup> For purposes of the TSGP, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).

## B. Post Award Instructions

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

**1. Review award and special conditions document.** Notification of award approval is made by e-mail through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official. Follow the directions in the notification e-mail and log into GMS to access the award documents. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification e-mail, please contact your Preparedness Officer for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option 3 to obtain the username and password associated with the new award.

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

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

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

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

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

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

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

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

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

### **C. Drawdown and Expenditure of Funds.**

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

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

Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements (Including Sub-awards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations (formerly OMB Circular A-110). These regulations further provide that entities are required to promptly, but at least quarterly, remit interest earned on advances to:

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

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

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

## D. Reporting Requirements

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

FSRs must be filed online through the PARS.

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

**2. Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR).** Following an award, the grantee will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the CAPR/BSIR reports. The BSIR submission will satisfy the narrative requirement of the CAPR. SAAs are still required to submit a CAPR with a statement in the narrative field that states: “See BSIR.”

The BSIR and the CAPR are due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

CAPRs must be filed online through the internet at <http://grants.ojp.usdoj.gov>. Guidance and instructions for completing the CAPR can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

***Required submission: BSIR and CAPR (due semi-annually).***

**3. Exercise Evaluation and Improvement.** Exercises implemented with grant funds should be threat- and performance- based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at <http://www.fema.gov/government/grant/index.shtm>. Grant recipients must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with FEMA support (grant funds or direct support) and submitted to FEMA within 60 days following completion of the exercise.

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

***Required submissions: AARs and IPs (as applicable).***

**4. Financial and Compliance Audit Report.** Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of TSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

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

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

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

this requirement. DHS anticipates using this information to inform future-year grant program funding decisions.

**7. State Preparedness Report.** Congress requires that States receiving DHS-administered Federal preparedness assistance shall submit a State Preparedness Report to the Department on the State’s level of preparedness by March 31, 2008, and annually thereafter. The report shall include: (1) an assessment of State compliance with the national preparedness system, NIMS, the NRP, and other related plans and strategies; (2) an assessment of current capability levels and a description of target capability levels; and (3) an assessment of resource needs to meet the National Preparedness Priorities, including an estimate of the amount of expenditures required to attain the Priorities and the extent to which the use of Federal assistance during the preceding fiscal year achieved the Priorities.

**E. Monitoring.**

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

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

**F. Grant Close-Out Process.**

Within 90 days after the end of the award period, SAAs must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. After the financial information is received and approved by GPD, the grant will be identified as “Closed by the Grant Programs Directorate.”

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

## Appendix H

# Additional Resources

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

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

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

**2. Grant Programs Directorate (GPD).** FEMA GPD will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation.

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

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

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

- Cooperative Purchasing Program

Section 211 of the E-Government Act of 2002, authorized GSA sales of Schedule 70 IT products and services to State and Local Governments through the introduction of Cooperative Purchasing. The Cooperative Purchasing program allows State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing is authorized by Federal law and was enacted when Section 211 of the E-Government Act of 2002 amended the Federal Property and Administrative Services Act.

Under this program, State and local governments have access to over 3,500 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at <http://www.gsa.gov/cooperativepurchasing>.

- Disaster Recovery Purchasing Program

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

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

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

State and local governments can find a list of eligible contractors on GSA's website, <http://www.gsa/library.gsa.gov>, denoted with a  or  symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov> to find the point of contact in your area. For assistance at the national level, contact Tricia Reed at [patricia.reed@gsa.gov](mailto:patricia.reed@gsa.gov), 571-259-9921. More information is available at <http://www.gsa.gov/cooperativepurchasing> and <http://www.gsa.gov/disasterrecovery>.

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

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

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

## APPENDIX I

# OPERATIONAL EXPENSES CERTIFICATION FORM

Agencies can utilize this form to certify that operational expenses are utilized for the purposes outlined below.

I, insert name, as the insert title of insert agency name, request funds from the fiscal year (FY) 2008 Transit Security Grant Program (TSGP) for operational activities for the insert region name region in the amount of insert dollar amount. I certify that these operational funds will only be used to fill new dedicated full-time positions related to Operational Packages (OPacks) eligible under the FY 2008 Transit Security Grant Program (TSGP) or to pay for initial overtime costs associated with establishing the OPack position capability approved for 2008 TSGP funding by DHS until the new full-time officers are in place. I also confirm agency name's understanding that, after a 30-month period of performance, positions funded with these operational funds will no longer qualify for Federal funding under this or future TSGP awards. In all cases, the activities paid for by the FY 2008 TSGP funds will result in additional capabilities not previously available and/or paid for by the agency/region. I certify agency name's understanding that failure to sustain the level of capability established by these operational funds beyond the period of performance will result in disqualification of agency name from using future TSGP awards for operational activities.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## APPENDIX J

# SECURITY PLAN CERTIFICATION FORM

Transit agencies that have already and developed security plans can use this form as their certification, and submit it as part of their grant application. For transit agencies that request funds for those purposes, this form must be submitted upon request. All transit agencies must be able to provide security plans upon request.

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

---

Signature \_\_\_\_\_ Date  
(Transit Agency)

Signature \_\_\_\_\_ Date  
(Primary Security Provider)