



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2011**

**INTERCITY BUS SECURITY GRANT PROGRAM**

**GUIDANCE AND APPLICATION KIT  
SECTION I – APPLICATION AND REVIEW  
INFORMATION**

**MAY 2011**



U.S. DEPARTMENT OF HOMELAND SECURITY

**Title of Opportunity:** Fiscal Year (FY) 2011 Intercity Bus Security Grant Program (IBSGP)

**Funding Opportunity Number:** DHS-11-GPD-057-000-01

**Catalog of Federal Domestic Assistance (CFDA) Number:** 97.057

**Federal Agency Name:** U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA)

**Announcement Type:** Initial

**Dates:** Completed applications must be submitted **no later than 11:59 p.m. EDT, June 20, 2011.**

**Additional Overview Information:**

- **Reformatted IBSGP Guidance Kit.** Due to continued stakeholder feedback and recommendations, Grant Programs Directorate (GPD) has reformatted its FY 2011 IBSGP Guidance and Application Kit. The Kit is now structured into two separate documents, referred to as *Section I* and *Section II*. While both are important documents for grantees to study and thoroughly familiarize themselves with, *Section I* is intended to help grantees during the application phase of the IBSGP; whereas *Section II* is intended to help grantees in understanding the rules and regulations associated with administering federally-funded grant awards.
- **Enhanced Data Collection.** As part of the DHS Performance Management Initiatives, including the Quadrennial Homeland Security Review (QHSR) Report, FEMA will enhance data collection processes and tools to assess the use and impact of FY 2011 IBSGP grant funds. Grantees will not be asked to provide additional data, but may be required to modify existing data reporting processes to collect more useful performance information.
- **Competitive Funding.** For FY 2011, all bus companies that meet the minimum eligibility requirements will be competing for funding under IBSGP, as the Tier system has been eliminated. Applicants should also consult the revised FY 2011 UASI table found on page 7-8, as the number of UASI jurisdictions has decreased from last year.
- **Sensitive Security Information (SSI) Requirements.** For the purposes of the Intercity Bus Security Grant Program, all Investment Justifications (IJ) shall be considered SSI and treated as such. This means labeling as SSI and password protecting appropriate documents prior to submission. The passwords for protected documents must be sent (separate of the documents) to the following e-mail address [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov)

The subject line of the email should identify:

- Applicant name
- Application number

The body of the e-mail should clearly identify:

- Applicant name
- IJ number and/or summary description
- State
- Point Of Contact (POC) information

NOTE: A single password should be provided for all SSI documents within the same application.

Further information regarding these requirements can be found on page 25.

- There will be no tiers for the FY 2011 IBSGP; all eligible applicants will compete from the same pool of funds.

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## PART I.

# FUNDING OPPORTUNITY DESCRIPTION

The Fiscal Year (FY) 2011 Intercity Bus Security Grant Program (IBSGP) is one of five Department of Homeland Security (DHS) grant programs that focus on transportation infrastructure security activities. IBSGP is an important 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 FY 2011 IBSGP is authorized by Section 1532 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (hereafter "9/11 Act") and the *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10). This program is appropriated as Over-the-Road Bus Security but for the purposes of this guidance and application kit, the program is called the Intercity Bus Security Grant Program. The vast bulk of America's critical infrastructure is owned and/or operated by State, local, and private sector partners. The funds provided by the IBSGP are primarily intended to support the work of operators of fixed-route intercity and charter bus services.

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

### ***Federal Investment Strategy***

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

The *National Preparedness Guidelines* define a vision of what to accomplish and provide 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. DHS expects its critical infrastructure partners to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations, and investment to the degree practicable. Programmatic requirements or priority investment categories

reflecting the national preparedness architecture for this grant program are identified below. Additional information may also be found at [http://www.dhs.gov/files/publications/gc\\_1189788256647.shtm](http://www.dhs.gov/files/publications/gc_1189788256647.shtm).

***IBSGP Program Management: Roles and Responsibilities at DHS***

Effective management of the IBSGP entails a collaborative effort and partnership within DHS, the dynamics of which require continuing outreach, coordination, and interface. For the FY 2011 IBSGP, FEMA is responsible for designing and operating the administrative mechanisms needed to implement and manage the grant program. The Transportation Security Administration (TSA) provides programmatic subject matter expertise for the transportation industry and assists by coordinating the myriad of intelligence information and risk/vulnerability assessments resulting in ranking and rating the highway and intercity bus assets nationwide against threats associated with potential terrorist attacks and in defining the parameters for identifying, protecting, deterring, responding, and recovering from such incidents. Together, these two agencies with additional assistance and cooperation of the Federal Motor Carrier Security Administration (FMCSA), determine the primary security architecture of the IBSGP program.

## PART II.

# AWARD INFORMATION

### **Authorizing Statutes**

The FY 2011 IBSGP is authorized by Section 1532 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (the 9/11 Act) and the *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10). This program is appropriated as Over-the-Road Bus Security but for the purposes of this Guidance and Application Kit, the program is called the Intercity Bus Security Grant Program.

### **Period of Performance**

The period of performance of this grant is 36 months. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. For more information on grant extensions, see *Section II, Part I.A.*

### **Available Funding**

In FY 2011, the total amount of funds distributed under this grant program will be \$4,990,000. Unlike the FY 2010 program, all bus companies that meet the minimum eligibility requirements will be competing competitively for FY 2011 IBSGP grants.

Please refer to Table 1 for a complete listing of eligible FY 2011 Urban Areas.

**Table 1: FY 2011 IBSGP Urban Areas**

FY 2011 Tier I Urban Areas			
State/Territory	Urban Area	State/Territory	Urban Area
California	Los Angeles/Long Beach Area	New Jersey	Jersey City/Newark Area
	Bay Area	New York	New York City Area
	San Diego Area	Pennsylvania	Philadelphia Area
District of Columbia	National Capital Region	Texas	Houston Area
Illinois	Chicago Area		Dallas/Fort Worth/Arlington Area
Massachusetts	Boston Area		

FY 2011 Tier II Urban Areas			
State/Territory	Urban Area	State/Territory	Urban Area
Arizona	Phoenix Area	Minnesota	Twin Cities Area
California	Anaheim/Santa Ana Area	Missouri	St. Louis Area
	Riverside Area	Nevada	Las Vegas Area
Colorado	Denver Area	North Carolina	Charlotte Area
Florida	Miami/Ft. Lauderdale Area	Ohio	Cleveland Area
	Tampa Area		Cincinnati Area
	Orlando Area	Oregon	Portland Area
Georgia	Atlanta Area	Pennsylvania	Pittsburgh Area
Maryland	Baltimore Area	Virginia	Norfolk Area
Michigan	Detroit Area	Washington	Seattle Area

### **Cost Match**

The FY 2011 IBSGP has a 75 percent (75%) Federal and 25 percent (25%) grantee cash-or in-kind match requirement as defined under 44 CFR 13.24. Vulnerability assessments and security plans are exempt from this cost match requirement.

FEMA administers cost match requirements in accordance with 44 CFR Part §13.24. To meet matching requirements, the grantee contributions must be reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations.

Please refer to *Section II, Part I.E* for additional match guidance to include match definitions, basic guidelines, and governing provisions.

### **A. Funding Priorities**

The funding priorities for the FY 2011 IBSGP reflect the Department's overall investment strategy, in which two priorities are paramount: risk-based funding and regional security cooperation. The funding priorities also reflect the 9/11 Act, which was enacted by Congress in August 2007.

First, DHS is continuing to focus the available IBSGP funds on operators serving the Nation's highest-risk metropolitan areas.

Second, DHS will prioritize funds to ensure that all IBSGP applications reflect robust regional coordination and an investment strategy that institutionalizes regional security strategy integration.

In order to be eligible to receive FY 2011 IBSGP grant funding, the 9/11 Act requires that all operators have completed a vulnerability assessment and developed a security plan. **If the operator has not completed a security plan or vulnerability assessment, then the operator may use FY 2011 IBSGP grant funding for only the**



**development of a security plan or vulnerability assessment. The operator cannot apply for any other projects.**

The 9/11 Act outlines several uses of funds for over-the-road bus security assistance in section 1532 (b), which are all eligible costs under the FY 2011 IBSGP. Those uses of funds are listed below in prioritized order for funding consideration for the FY 2011 IBSGP.

Please note that the activities allowed under the following funding priorities constitute Sensitive Security Information (SSI). Information submitted in the course of applying for funding or reporting under certain programs or provided in the course of an entity's grant management activities under those programs which is under Federal control is subject to protection under SSI, and must be properly identified and marked. SSI is a control designation used by DHS to protect information related to transportation security. This designation is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. The applicable information is spelled out in greater detail in 49 CFR 1520. For additional information, please reference *Section II, Part 1.B.5.5.1*.

- Developing assessments or security plans:
  - Development of a vulnerability assessment that includes, as appropriate:
    - Identification and evaluation of critical assets and infrastructure, including platforms, stations, terminals, and information systems
    - Identification of vulnerabilities to those assets and infrastructure
    - Identification of gaps in physical security; passenger and cargo security; the security of programmable electronic devices, computers, or other automated systems which are used in providing over-the-road bus transportation; alarms, cameras, and other protection systems; communications systems and utilities needed for over-the-road bus security purposes, including dispatching systems; emergency response planning; and employee training
  - Development of a security plan that includes, as appropriate:
    - The identification of a security coordinator having authority to implement security actions, coordinate security improvements, and receive communications from appropriate Federal officials regarding over-the-road bus security
    - A list of needed capital and operational improvements
    - Procedures to be implemented or used by the operator in response to a terrorist attack, including evacuation and passenger communication plans that include individuals with disabilities
    - The identification of steps taken with State and local law enforcement agencies, emergency responders, and Federal officials to coordinate security measures and plans for response to a terrorist attack

- A strategy and timeline for conducting training to prepare front-line employees for potential security threats and conditions
- Enhanced security measures to be taken by the operator when the Secretary of DHS declares a period of heightened security risk
- Plans for providing redundant and backup systems required to ensure the continued operation of critical elements of the operator's system in the event of a terrorist attack
- Operating and capital costs associated with over-the-road bus security awareness, preparedness, and response training, including training for front-line employees for potential security threats and conditions (must be DHS-approved training courses)
- Assessing and improving the capabilities of entities to prevent, prepare for, mitigate, respond to, and recover from acts of terrorism through live or simulated exercises (must be DHS-approved exercises)
- Enhancing over-the-road bus security through public awareness campaigns (must be DHS-approved)
- Establishing and improving an emergency communications system linking drivers and over-the-road buses to the recipient's operations center or linking the operations center to law enforcement and emergency personnel
- Implementing and operating passenger screening programs for weapons and explosives
- Protecting or isolating the driver of an over-the-road bus
- Detecting chemical, biological, radiological, or explosive, including canine patrols for such detection
- Acquiring, upgrading, installing, or operating equipment, software, or accessorial services for collection, storage, or exchange of passenger and driver information through ticketing systems or other means and for information links with government agencies, for security purposes
- Reimbursing for overtime, including reimbursement of State, local, and Tribal governments for costs, for enhanced security personnel assigned to duties related to over-the-road bus security during National Special Security Events.
- Modifying over-the-road buses to increase their security
- Installing cameras and video surveillance equipment on over-the-road buses and at terminals, garages, and over-the-road bus facilities
- Constructing and modifying terminals, garages, and facilities, including terminals and other over-the-road bus facilities owned by State or local governments, to increase their security

## **B. Funding Guidelines**

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

The following pages outline general allowable and unallowable IBSGP costs guidance.

- 1. Management and Administration (M&A).** Any M&A costs associated with individual projects submitted for consideration of funding under the FY 2011 IBSGP must be included in the budget for that project. M&A costs associated with managing the overall IBSGP award itself must be accounted for separately. M&A costs may not exceed five percent (5%) of the total grant award.

Funds may be used for the following M&A costs to assist with the management of the FY 2011 IBSGP:

- Hiring of full-time or part-time staff or contractors/consultants and M&A expenses related to meeting compliance with grant reporting or data collection requirements, including data calls
- Travel expenses
- Meeting-related expenses. For a complete list of allowable meeting-related expenses, please review Federal Acquisition Regulations (FAR), Part 31.2

- 2. Minimum Project Amounts.** There is no minimum project request amount requirement for the FY 2011 IBSGP.
- 3. Construction Projects Guidance.** FY 2011 IBSGP recipients using funds for construction projects must comply with the *Davis-Bacon Act*. Grant recipients must ensure that their contractors or sub-contractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website <http://www.dol.gov/compliance/laws/comp-dbra.htm>. See also, *Section II, Part I.B.5.5.6*, Environmental Planning and Historic Preservation Compliance, and *Section II, Part I.B.1.1.4* for requirements related to Duplication of Benefits.
- 4. Vulnerability Assessment and Security Plan.** Per the 9/11 Act, in order to be eligible, **the operator must have conducted a vulnerability assessment and developed a security plan.** If the operator already has a current (updated within the last three years) vulnerability assessment and security plan, they must certify as such (Please see *Section I, Part VI.C* for a certification statement). If the operator has not conducted a vulnerability assessment and/or developed a security plan, then FY 2011 IBSGP funding may be used to meet those requirements.

**If the operator does not have a vulnerability assessment and/or security plan, or if these documents are not current, then the only project that the operator can propose is for a vulnerability assessment and security plan development. Other project requests will not be considered until the vulnerability assessments and security plans are developed and/or certified by the bus operator.**

Eligible grantees may request FY 2011 IBSGP funding to conduct a vulnerability assessment and develop a security plan, and must still meet the above requirements. See page 38 for the Vulnerability Assessment/Security Plan certification statement.

- 5. Corporate Security Review (CSR) and Audit.** By accepting a FY 2011 IBSGP award, the grantee must allow DHS to perform a CSR and audit upon request. Grantees will be required to provide basic information concerning critical assets, threat assessments, vulnerability assessments, management, and oversight of the security plan, personnel security, training, secure areas, exercises, cyber security, and physical security countermeasures.
- 6. Security Impact Reporting.** As a condition of accepting an award, DHS reserves the right to ask grantees for information about their security-related investments to determine the security impact and cost effectiveness of the grants. This information will be collected, reviewed, and analyzed in order to capture the impact of the IBSGP, and may affect how information is asked for and evaluated through the grant application process in future grant programs. The type of data collected may include, but is not limited to: program-funded initiatives, program statistics, security incident statistics, and risk reduction data.
- 7. Allowable Costs.** Specific Investments made in support of the funding priorities discussed in *Section I, Part II.A* of the grant guidance generally fall into one of seven project categories as described below.

**Applicants should identify which category their project falls into in Section II.A of the Investment Justification (IJ). DO NOT combine different projects in one IJ. Applicants may only request funding for three projects under the FY 2011 IBSGP.**

Project components should be related as defined by the following seven projects:

***Facility Security Enhancements***

FY 2011 IBSGP funds may be used for the following facility security enhancement costs:

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

- **Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff or contractors/consultants may be hired to support facility security enhancement-related activities. The applicant's formal written procurement policy or 2 CFR Part 215 must be followed.

**Please Note: Camera, video surveillance, and alarm systems MUST be live monitored 24/7. Systems that do not clearly specify live monitoring in the IJ will not be funded.**

**The maintenance, repair, or replacement of existing security capabilities is not an allowable expense for any year funding through IBSGP.**

When completing a Facility Security IJ, please address the following, as applicable:

- Identify if the facility is owned or leased
- Identify the height, type, length and features of any fencing project and provide an estimated cost per linear foot of fencing in the budget. If “ornamental” or other special types of fencing are required by local ordinance, please reference the ordinance in the IJ. Unsupported requests for special fencing will not be funded.
- Identify the type, capability, and proposed location of any security cameras and provide an estimated cost per camera in the budget. An aerial photo of the facility would be helpful.
- Include a monitoring plan for any cameras and/or alarm systems describing when, how, and by whom such systems will be monitored and any protocols for dealing with an emergency

### ***Vehicle/Driver Security Enhancements***

FY 2011 IBSGP funds may be used for the following costs:

- **Vehicle Security Enhancements** focus on vehicle disabling and anti-theft devices, real-time bus inventory and inventory control, tracking, monitoring, and locating technologies. Driver security enhancements focus on protection for the bus driver to prevent would-be terrorists from immobilizing the driver and/or hijacking the bus. Applicants are discouraged from submitting projects that propose the use of CCTV alone as an on-board deterrent to terrorism. Rather, any cameras should be live monitored 24/7.
- **Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff or contractors/consultants may be hired to support security enhancement-related activities. The applicant's formal written procurement policy or 2 CFR Part 215.40, Procurement Standards, must be followed.

**Please Note: Camera, video surveillance, and panic button systems MUST be live monitored 24/7. Systems that do not clearly specify live monitoring in the IJ will not be funded.**

**The maintenance, repair or replacement of existing security capabilities is not an allowable expense for any year funding through IBSGP.**

When completing a Vehicle Security IJ, please address the following, as applicable:

- Identify the location and focus area of any on-board cameras. Please note that external cameras or externally facing cameras are not a security priority of this program.
- Identify the type of vehicles involved. Please note that only Over-The-Road Buses (OTRBs), as defined on page 19, are eligible vehicles for security enhancements.
- Be sure the project does not include removal, replacement, or maintenance costs for any year funding through IBSGP
- Include a monitoring plan for any on-board cameras and/or panic buttons describing when, how, and by whom such systems will be monitored and any protocols for dealing with an emergency

***Passenger Screening***

FY 2011 IBSGP funds may be used for the implementation and operation of passenger screening programs. These screening programs should focus on weapons and explosives.

***Training***

FY 2011 IBSGP funds may be used for the following training activities:

- **Training Workshops and Conferences.** Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and training plan development
- **Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff may be hired to support training-related activities. The services of contractors/consultants may also be procured by the State in the design, development, conduct, and evaluation of Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) training. The applicant's formal written procurement policy or 2 Code of Federal Regulations (CFR) Part 215.40, Procurement Standards, must be followed.
- **Overtime and Backfill Costs.** Overtime and backfill costs associated with the design, development, and conduct of CBRNE training are allowable expenses. Payment of overtime expenses will be for work performed by recipient or sub-recipient employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the training project(s). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that the event being attended is a DHS-approved course. Grant funds cannot be used for personnel or salary costs for employees to attend training sessions. Grantees seeking to claim overtime or backfill costs will be required to submit verification. Straight time costs are not eligible expenses.

- **Travel.** Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending DHS-approved courses. These costs must be in accordance with State law as highlighted in FAR Part 31.2. Recipients must also follow State regulations regarding travel. If a grantee does not have a travel policy they must follow Federal guidelines and rates, as explained in 2 CFR Part 215.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks)
- **Other Items.** These costs include the rental of space/locations for planning and conducting training, badges, etc. Grantees are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations.

FY 2011 IBSGP funds may be not used for the following training activities:

- Training that is not on the DHS-approved course list
- Personnel costs that are not specifically identified as overtime or backfill
- Food or refreshments during training sessions

When completing a training IJ, please address the following, as applicable:

- Include a course syllabus, curriculum, or topic plan identifying the proposed course material and contents
- Provide the total cost of the training course, the number of participants, and the cost per participant breakdown

Note: FY 2011 IBSGP funding is not intended as a hiring program and funds may not be used to support hiring that would support new or existing full-time employee positions.

### ***Exercises***

FY 2011 IBSGP funds may be used for the following exercise activities:

- **Exercise Planning Workshop.** Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and exercise plan development
- **Contractors/Consultants.** Contractors/Consultants staff may be hired to support exercise-related activities. The services of contractors/consultants may also be procured to support the design, development, conduct, and evaluation of terrorism exercises. The applicant's formal written procurement policy or 2 CFR Part 215.40, Procurement Standards, must be followed.
- **Overtime and Backfill Costs.** Overtime and backfill costs associated with the design, development, and conduct of terrorism exercises are allowable

expenses. Payment of overtime expenses will be for work performed by employees of public sector recipients or sub-recipients in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is a DHS sponsored exercise. Grant funds cannot be used for personnel or salary costs for employees to attend exercises. Grantees seeking to claim overtime or backfill costs will be required to submit verification. Straight time costs are not eligible expenses.

- **Travel.** Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s). These costs must be in accordance with State law. Recipients must also follow State regulations regarding travel. If a State or Territory does not have a travel policy they must follow Federal guidelines and rates, as explained in 2 CFR Part 215.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment)
- **Other Items.** These costs include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc. Grantees are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations.

### ***Development of Vulnerability Assessment and Security Plans***

FY 2011 IBSGP funds may be used for the following types of activities:

- Vulnerability Assessments
  - The identification and evaluation of critical assets and infrastructure, including platforms, stations, terminals, and information systems
  - The identification of vulnerabilities to those assets and infrastructure
  - The identification of weaknesses in physical security; passenger and cargo security; the security of programmable electronic devices, computers, or other automated systems which are used in providing over-the-road bus transportation; alarms, cameras, and other protection systems; communications systems and utilities needed for over-the-road bus security purposes, including dispatching systems; emergency response planning; and employee training
- Security Plans
  - The identification of a security coordinator having authority to implement security actions, coordinate security improvements, and receive communications from appropriate Federal officials regarding over-the-road bus security
  - A list of needed capital and operational improvements



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

**Note:** If a Vulnerability Assessment/Security Plan already exists and is less than three years old, please justify the need for an updated assessment/plan.

When completing a vulnerability assessment and security plan IJ, please address the following, as applicable:

- In *Section IV.A* of the IJ, discuss how the resulting recommendations will be implemented and from where the resources will come to implement the recommendations

### ***Other Authorized Expenditure Guidance***

- Emergency communications technology that focuses on theft prevention, real-time bus inventory, tracking, monitoring, and locating technologies
- Coordinating with local police and emergency responders to address the response to and recovery from a catastrophic event and/or a terrorist attack
- Training and Exercises that focus on domain awareness and coordinating and preparing for an incident or attack
- Improvement of ticket identification and further implementation of passenger and baggage screening enhancements which utilize an established methodology for screening passengers, their carry-on baggage, and/or their checked baggage, for weapons and/or explosives

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

## **8. Unallowable Costs**

FY 2011 IBSGP funds may not be used for the following activities:

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, recurring operating costs (e.g., cell phone services, maintenance contracts, etc.), weapons systems, and ammunition
- Activities unrelated to the completion and implementation of projects approved under the IBSGP
- Personnel costs (except as noted under Allowable Training, Exercise, and M&A Costs above)
- Maintenance costs
- Monthly service charges or recurring costs
- Pre-agreement costs (i.e., costs incurred prior to the start of the grant period)
- Other indirect costs (i.e., property purchase, depreciation, or amortization expenses)

## PART III.

# ELIGIBILITY INFORMATION

### A. Eligible Applicants

#### ***Minimum Eligibility Requirements***

Eligibility for funding is limited to applicants that meet one or both of the following criteria:

- Operate fixed-route intercity bus transportation providing services to a defined Urban Areas Security Initiative (UASI) jurisdiction
- Operate a charter bus service using over-the-road buses and provide a minimum of 50 trips annually to one or more defined UASI jurisdictions

The following definitions are applicable for the purpose of meeting FY 2011 program eligibility requirements:

- **Fixed-route intercity bus service** is defined as passenger transportation service provided to the general public for compensation over specified, predetermined, and published routes between cities or terminals using over-the-road-buses
- **Charter bus service** is defined as a bus service that operates neither over fixed-routes nor on regular schedules

Note: A charter bus service is characterized by the rental of a bus and the services of a driver to a person or group where all passengers embark and disembark at the same point. A charter bus service must use over-the-road buses.

- **An over-the-road bus** is defined as a vehicle designated for long-distance transportation of passengers, characterized by integral construction with an elevated passenger deck located over a baggage compartment and at least 35 feet in length with a capacity of more than 30 passengers. Only over-the-road buses are eligible for vehicle security enhancements through this program. Limousines, mini-coaches, school buses, or any other vehicle that does not fit the definition of an over-the-road bus are not eligible.
- **UASI jurisdiction** is defined in the Homeland Security Grant Program (HSGP) FY 2011 Program Guidance and Application Kit
- **A trip** is defined as a single bus journey from an embarkation point to the furthest destination in that journey. For example, a trip from New York City to Denver to San Francisco would be considered a single trip. A trip is made to a defined UASI jurisdiction if at any point in the trip the bus stops in a UASI jurisdiction and embarks or disembarks passengers. For example, a trip from Newburgh, NY to

Manhattan to Charleston, WV is a trip to a defined UASI jurisdiction if passengers embark or disembark in Manhattan.

Note: Intracity bus service is not eligible for funding under the FY 2011 IBSGP. Funding for intracity bus security is being addressed through the FY 2011 Transit Security Grant Program.

### ***Ineligible Service Categories***

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

Note: Eligible applicants may submit one application for funding of up to two projects. If a bus company operates both a fixed-route and a charter bus service, only one application may be submitted for that company. However, the specific projects included in that application may address one or both of the services, assuming both are eligible under the FY 2011 IBSGP guidelines.

## **B. Governance**

### ***National Incident Management System (NIMS) Implementation***

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of the NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. The NIMS provides a consistent nationwide template to enable all levels of government, Tribal nations, nongovernmental organizations including voluntary organizations, and private sector partners to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity.

Federal FY 2010 NIMS implementation must be considered prior to allocation of any Federal preparedness awards in FY 2011. Since FY 2007, the National Integration Center (NIC) has advised State, Tribal nation, and local governments to self assess their respective progress relating to NIMS implementation objectives in the NIMS Compliance Assistance Support Tool (NIMSCAST).<sup>1</sup> The list of objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtml#item2>.

All State, Tribal nation, and local government grantees should update their respective NIMSCAST assessments and, if necessary, submit a Corrective Action Plan via NIMSCAST for FY 2010. Corrective Action Plans are only required if a jurisdiction fails to meet one of the NIMS implementation activities. Comprehensive information

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<sup>1</sup> As defined in the *Homeland Security Act of 2002* (Public Law 107-296), the term "State" means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States" 6 U.S.C. 101 (14)

concerning NIMS implementation for States, Tribal nations, local governments, nongovernmental organizations, and the private sector is available through the NIC at FEMA's NIMS Resource Center at [www.fema.gov/nims](http://www.fema.gov/nims).

State, Tribal, and local governments should continue to implement NIMS training guidance (course curricula and instructor qualifications) contained in the *Five-Year NIMS Training Plan*, released in February 2008 and any successor guidance released by FEMA. [Note: Coursework and training developed and/or delivered by National Wildfire Coordinating Group (NWCG) meet the course and instructor requirements of the *Five-Year NIMS Training Plan*]. NIMS training guidance is available on FEMA's NIMS Resource Center at [www.fema.gov/emergency/nims/NIMSTrainingCourses](http://www.fema.gov/emergency/nims/NIMSTrainingCourses).

The primary grantee/administrator of FY 2011 IBSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

## PART IV.

# APPLICATION AND SUBMISSION INFORMATION

### A. Address to Request Application Package

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

### B. Content and Form of Application

1. **Application via Grants.gov.** All applicants must file their applications using the Administration’s common electronic “storefront” – <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

The application must be started and submitted using Grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

When applicants apply through <http://www.grants.gov>, the Standard Form 424 in the initial Grants.gov application will need to be submitted. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Because FEMA will need to conduct an initial review of the application prior to the submission deadline of June 20, 2011, grantees are encouraged to initiate and complete the Standard Form 424 submission within Grants.gov by **no later than June 13, 2011**. Upon the completion of the initial review, FEMA will determine whether an application should proceed further and the applicant will be notified to complete their submission by fulfilling additional

application requirements (e.g., budget, IJ, Work Plan, etc.) listed below by **no later than June 20, 2011**.

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact FEMA's Enterprise Service Desk at (888) 457-3362. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. The ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- Investment Justification (Office of Management and Budget [OMB] Number 1660-0111/FEMA Form 089-8)
- Budget Detail Worksheet

The program title listed in the CFDA is "*Intercity Bus Security Grant Program*." The CFDA number is **97.057**.

2. **Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.
3. **Valid CCR.** The application process also involves an updated and current registration by the applicant, which must be confirmed at <http://www.ccr.gov>.
4. **Investment Justification (IJ).** As part of the FY 2011 IBSGP application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including estimated M&A costs. These IJs must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

Applicants requesting training funds may use a streamlined IJ to facilitate those requests. For **training-related IJs only**, applicants need only complete the following questions in the IJ template:

- I.A.
- I.B.
- I.C.
- II.A.
- III.B.
- IV.A.
- IV.D.

IJs for all other projects must be **completed in full** in order to be considered for funding.

- 5. 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, any appropriate narrative, and a detail of all M&A costs. Budgets should also round costs to the nearest whole dollar, and not include cents.

The detailed budget must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting required documents as part of the FY 2011 IBSGP:

Legal Name of Bus Company\_IJ Number\_Budget (Example: ABC Bus Lines\_IJ#1\_Budget)

**When completing the budget, applicants should break costs down to the smallest unit possible.** For instance, a fencing project should provide the cost per linear foot of fencing and a closed circuit television (CCTV) project should provide the cost per camera. This will greatly assist the review panel in determining the type and cost effectiveness of the different components of the project.

Additionally, any technical or computer equipment should be described in adequate detail to improve understanding of the function of such devices. The budget narrative section of the application allows applicants the opportunity to describe the purpose and function of project components. Budget narratives should also clearly identify any optional features or capabilities, such as a Global Positioning System (GPS) unit equipped with a panic button. Optional or potential capabilities not clearly identified will be assumed as not being present.

Applicants will find a sample budget detail worksheet in *Section I, Part VI.B*. This worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative.



- 6. Vulnerability Assessment and Security Plan Certification Statement (if applicable).** If an operator already has a current (updated within the last three years) vulnerability assessment and security plan and wishes to apply for other projects, they must certify as such using the certification statement on page 40.

If applying for other projects, applicants must justify those projects based on the findings and recommendations in their vulnerability assessment and security plan. Applicants that do not tie their proposed projects back to their company specific security plans risk receiving lower scores than applicants that do tie their proposed projects to their security plan.

- 7. Sensitive Security Information (SSI) Requirements.** Information submitted in the course of applying for funding or reporting under certain programs or provided in the course of an entity's grant management activities under those programs which is under Federal control is subject to protection under SSI, and must be properly identified and marked. SSI is a control designation used by the Department of Homeland Security related to protecting information related to transportation security. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. The applicable information is spelled out in greater detail in 49 CFR 1520.7.

For the purposes of the Intercity Bus Security Grant Program, all Investment Justifications shall be considered SSI and treated as such. This means labeling as SSI and password protecting appropriate documents prior to submission. The passwords for protected documents must be sent (separate of the documents) to the following e-mail address [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov). If you have any additional questions please contact CSID at (800) 368-6498, Monday through Friday, 8:00 a.m.- 6:00 p.m. EST.

The subject line of the email should identify:

- Applicant name
- Application number

The body of the e-mail should clearly identify:

- Applicant name
- IJ number and/or summary description
- State
- POC information

**NOTE:** A single password should be provided for all SSI documents within the same application.

### C. Environmental Planning and Historic Preservation (EHP) Compliance

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For IBSGP and other preparedness grant programs, this is accomplished via FEMA's EHP Review.

Grantees must comply with all applicable EHP laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2011 IBSGP grant funds. Any project with the potential to impact natural resources or historic properties cannot be initiated until FEMA has completed the required FEMA EHP review. Grantees that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds.

Not all projects require a FEMA EHP review. For example, the following activities would not require a FEMA EHP review: planning and development of policies or processes; management, administrative or personnel actions; classroom-based training; table top exercises; and, acquisition of mobile and portable equipment (not involving installation). However, any proposed project funded through IBSGP that involves the installation of equipment, ground-disturbing activities, or modification/renovation of existing buildings or structures must undergo a FEMA EHP review process.

If a FEMA EHP review is required, you will receive notification from your Program Analyst (PA) on the type of EHP documentation needed for the FEMA EHP review. In these instances, grantees must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-01) and submit it, with all supporting documentation, to the GPD EHP team at [GPDEHPInfo@fema.gov](mailto:GPDEHPInfo@fema.gov). If you have any additional questions please contact CSID at (800) 368-6498, Monday through Friday, 8:00 a.m.- 6:00 p.m. EST. Refer to Information Bulletins (IBs) 329, 345, and 356 (located at <http://www.fema.gov/government/grant/bulletins/index.shtm>) and *Section II, Part I.B.5.5.6* for further details on EHP requirements.

### D. Submission Dates and Times

All submissions will be received by **no later than 11:59 p.m. EDT, June 20, 2011**. Late applications will neither be considered nor reviewed. Only applications started through <http://www.grants.gov> and completed through the ND Grants system located at <https://portal.fema.gov> will be accepted.

## PART V.

# APPLICATION REVIEW INFORMATION

### A. Review Criteria

The review panel uses the following criteria to score applications. Applicants can score up to 110 points.

***Funding priorities.*** Projects will be evaluated and prioritized based on the extent to which they address the specific funding priorities contained in *Section I, Part II.A* of this FY 2011 Guidance and Application Kit. The IJ should provide details on specific needs to be addressed, vision, goals, and objectives. It should also provide evidence of how the project fits into an overall effort to meet critical infrastructure security requirements, and how the investment provides significant security impact.

#### **Review Panel Funding Priorities Score: 0-55 points**

***Cost effectiveness.*** Projects will be evaluated and prioritized on the expected impact on security relative to the investment. The IJ should provide quantitative evidence of the security impact, as well as justification for the strategic usage of the proposed budget. The IJ should reflect robust regional coordination and an investment strategy that institutionalizes regional security strategy integration in the Nation's highest risk metropolitan areas. The project cost levels should be commensurate with the security impact, and the proposed solution should be reasonable and advantageous over other possible solutions.

#### **Possible Review Panel Cost Effectiveness Score: 0-10 points**

***Ability to reduce risk of catastrophic events.*** Projects will be evaluated and prioritized on their ability to reduce risk. The Investment Justification should demonstrate an ability to reduce risk, providing quantitative evidence of the project's security impact, consequence of not funding the project, and strategy to address specific risk areas.

#### **Possible Review Panel Risk Reduction Score: 0-15 points**

***Sustainability without additional Federal funds and leveraging of other funding.*** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance, as well as offer a long-term sustainability plan.

### **Possible Review Panel Sustainability Score: 0-10 points**

***Timelines.*** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes. The IJ should provide a timeline and schedule, and demonstrate evidence of ability to complete it within submitted timeline based on proposed strategy, identified implementation challenges, management and resource plan, and reasonableness of anticipated schedule.

### **Possible Review Panel Timelines Score: 0-10 points**

***Risk to critical infrastructure.*** Priority will be given to bus systems serving UASI jurisdictions within the Homeland Security Grant Program and to systems with routes passing through underwater tunnels.

### **Possible Review Panel Critical Infrastructure Score: 0-10 points**

## **B. Review and Selection Process**

The FY 2011 IBSGP will use risk-based prioritization consistent with DHS policy. The following method of selection will be followed under this program:

- FEMA, in conjunction with the TSA, will verify compliance with each of the administrative and eligibility criteria identified in the application kit
- Eligible applications will be reviewed and scored by a Federal interagency working group, including representatives from TSA, Federal Motor Carrier Safety Administration (FMCSA), and FEMA
- TSA and FEMA will review the interagency recommendations and make recommendations for funding to the Secretary of Homeland Security

Funds will not be made available for obligation, expenditure, or drawdown until the applicant's budget and budget narrative have been approved by FEMA.

The applicant must provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within <http://www.grants.gov>. 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, any appropriate narrative, and a detailed justification of M&A costs.

## **C. Anticipated Announcement and Award Dates**

FEMA will evaluate, act on applications, and make awards on or before September 30, 2011.

#### **D. Intergovernmental Review**

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

## PART VI. OTHER INFORMATION

### A. Investment Justification Template

Investment Heading	
State	
Bus System Name	
Urban Area(s) Served	
Investment Name	
Investment Phase	
Requested Amount	\$

#### I. Background

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

I.A. Identify the bus system and that system's point(s) of contact (POC) and Chief Executive Officer (CEO), as well as the POC and CEO for additional bus systems/partners.	
Word Limit	Not to exceed ½ page
Response Instructions	Identify the following: <ul style="list-style-type: none"> <li>• POC's 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;</li> <li>• CEO's name;</li> <li>• CEO's full mailing address;</li> <li>• CEO's telephone number;</li> <li>• CEO's email address;</li> <li>• POC and CEO information (as above) for additional bus systems/partners; and</li> <li>• Include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award</li> </ul>

I.B. Describe the extent of your operations in UASI jurisdictions. (Note – this response will help DHS determine your eligibility to participate in the FY 2011 IBSGP.)	
Page Limit	Not to exceed ¼ page
Response Instructions	Provide: <ul style="list-style-type: none"> <li>• A list of UASI jurisdictions serviced;</li> <li>• For charter services only, the number of trips annually to each UASI jurisdiction (must be a minimum of 50 trips); and</li> <li>• A source, such as a web site or brochure, which would allow DHS to verify service provided.</li> </ul>

<b>I.C. Describe the size of your fleet.</b>	
<b>Page Limit</b>	Not to exceed ¼ page
<b>Response Instructions</b>	Provide: <ul style="list-style-type: none"> <li>• The number of over-the-road buses in your fleet; and,</li> <li>• A source, such as a web site or brochure, which would allow DHS to verify fleet size.</li> </ul>

<b>I.D. Describe your system infrastructure and scope of operations for fixed-route services and/or charter services.</b>	
<b>Page Limit</b>	Not to exceed 2 pages
<b>Response Instructions</b>	<p><b>For fixed-route services</b>, address each of the following factors:</p> <ul style="list-style-type: none"> <li>• System Infrastructure;</li> <li>• Area of Operations;</li> <li>• Number of Passengers (Annually);</li> <li>• Number of Miles Driven (Annually);</li> <li>• Number of Employees (Specify categories, such as drivers, administration, management, and mechanics);</li> <li>• Description of Terminals/Bus Lots:             <ul style="list-style-type: none"> <li>○ Number of Terminals/Bus Lots (Owned/Leased and Operated);</li> <li>○ Location (street address and city) of each Terminal/Bus Lot (within which UASI jurisdiction it is located);</li> </ul> </li> <li>• Passenger Traffic for Each Terminal;</li> <li>• Other tenants at Each Terminal (other bus companies);and</li> <li>• Any other important system features.</li> </ul> <p><b>For charter services</b>, address each of the following factors:</p> <ul style="list-style-type: none"> <li>• Company Infrastructure;</li> <li>• Area of Operations;</li> <li>• Number of Passengers (Annually);</li> <li>• Number of Employees (Specify categories, such as drivers, administration, management, and mechanics);</li> <li>• Description of Bus Lots:             <ul style="list-style-type: none"> <li>○ Number of Bus Lots (Owned/Leased and Operated);</li> <li>○ Location of each Bus Lot (within which UASI jurisdiction it is located); and</li> </ul> </li> <li>• Any other important features of the charter service.</li> </ul>

## **II. Strategic and Program Priorities**

<b>II.A. Provide an abstract for this investment.</b>	
<b>Page Limit</b>	Not to exceed 1 page
<b>Response Instructions</b>	Provide a statement summarizing this investment, addressing the following questions: <ul style="list-style-type: none"> <li>• What bus security risk will the project address?</li> <li>• How will the investment address a transportation security need?</li> <li>• How will the investment enhance overall system security?</li> </ul>

<b>II.B. Describe how the investment will address one or more of the Intercity Bus Security Fundamentals.</b>	
<b>Page Limit</b>	Not to exceed 1 page
<b>Response Instructions</b>	<ul style="list-style-type: none"> <li>• Describe how, and the extent to which, the proposed investment addresses one or more of the following:             <ul style="list-style-type: none"> <li>○ Development of assessments or security plans</li> </ul> </li> </ul>

- Operating and capital costs associated with over-the-road bus security awareness, preparedness, and response training, including training for front-line employees for potential security threats and conditions as well as training developed by institutions of higher education and by non-profit employee labor organizations, for over-the-road bus employees
- Live or simulated exercises for the purpose of assessing and improving the capabilities of entities to prevent, prepare for, mitigate, respond to, and recover from acts of terrorism
- Public awareness campaigns for enhanced over-the-road bus security
- Operational costs to hire, train, and employ police and security officers, including canine units, assigned to full-time security or counterterrorism duties related to over-the-road bus transportation, including reimbursement of State, local, and Tribal government costs for such personnel. Establishing and improving an emergency communications system linking drivers and over-the-road buses to the recipient's operations center or linking the operations center to law enforcement and emergency personnel.
- Implementing and operating passenger screening programs for weapons and explosives
- Protecting or isolating the driver of an over-the-road bus
- Chemical, biological, radiological, or explosive detection, including canine patrols for such detection
- Acquiring, upgrading, installing, or operating equipment, software, or accessorial services for collection, storage, or exchange of passenger and driver information through ticketing systems or other means and for information links with government agencies, for security purposes
- Overtime reimbursement, including reimbursement of State, local, and Tribal governments for costs, for enhanced security personnel assigned to duties related to over-the-road bus security during periods of high or severe threat levels, National Special Security Events, or other periods of heightened security as determined by the Secretary of DHS
- Modifying over-the-road buses to increase their security
- Installing cameras and video surveillance equipment on over-the-road buses and at terminals, garages, and over-the-road bus facilities
- Constructing and modifying terminals, garages, and facilities, including terminals and other over-the-road bus facilities owned by State or local governments, to increase their security

***Note: If this investment is for a facility security enhancement, you must identify the exact location of the facility.***

- Regardless which priority above is addressed through the investment, ensure that your response includes a justification for your approach to accomplishing your goals and objectives. Provide an explanation that considers answering such questions as:
  - Has a security assessment been conducted? If so, identify who conducted the assessment, when it was completed, and summarize the results;
  - How does the proposed approach achieve the best possible balance of enhanced security and cost effectiveness available to your organization?
  - Other unique, organization-specific factors leading to this project investment?



### III. Impact

III.A. Describe how the project offers the highest risk reduction potential at the least cost.	
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> <li>• Discuss how the project will reduce risk in a cost effective manner.               <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, why you consider it a risk, and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event).</li> </ul> </li> </ul>

III.B. Discuss the anticipated impacts of the investment in terms of outputs and outcomes.	
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> <li>• Outline the expected, high-level impacts this investment is expected to attain/ achieve if implemented.</li> <li>• Explain at a high level how IBSGP funding will help achieve these impacts –briefly define your metrics of success in either:               <ul style="list-style-type: none"> <li>• <i>Outputs (i.e., X people will be trained as a result of this program), or</i></li> <li>• <i>Outcomes (i.e., This training has been shown to increase X standard of preparedness by Y% and therefore we estimate that we will increase our baseline preparedness by Z% after the implementation of this project)</i></li> </ul> </li> </ul>

### IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.			
Page Limit	Not to exceed 1 page		
Response Instructions	<ul style="list-style-type: none"> <li>• Complete the chart below to identify the amount of funding that is being requested for this investment only;</li> <li>• Funds should be requested by allowable cost categories (as identified in the FY 2011 IBSGP Guidance and Application Kit);and</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 2011 IBSGP) will be leveraged for this investment.</li> </ul> <p><b>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 Page 36 of this document for a sample format.</b></p>		
	Federal IBSGP Request	Total Match (Cash or In-Kind)	Grand Total
Facility Security Enhancements			
Enhanced Ticket Identification and Passenger Screening			
Vehicle and Driver Security Enhancements			

<i>Emergency Communications</i>			
<i>Coordination with Local Police and Emergency Responders</i>			
<i>Training</i>			
<i>Exercises</i>			
<i>Development of Vulnerability Assessments/Security Plans</i>			
<i>M&amp;A</i>			
Total			

**IV.B. Identify up to five (5) potential challenges to the effective implementation of this investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).**

<b>Page Limit</b>	Not to exceed ½ page
<b>Response Instructions</b>	<p>To identify potential challenges:</p> <ul style="list-style-type: none"> <li>• Consider the necessary steps and stages that will be required for successful implementation of the investment;</li> <li>• Identify areas of possible concern or potential pitfalls in terms of investment implementation; and</li> <li>• Explain why those areas present the greatest challenge to a successful investment implementation.</li> </ul> <p>Identify the top challenges (up to 5):</p> <ul style="list-style-type: none"> <li>• 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);and</li> <li>• The response should focus on the implementation only.</li> </ul>

**IV.C. Discuss funding resources beyond this fiscal year's funding that have been identified and will be leveraged to support the implementation of this investment.**

<b>Page Limit</b>	Not to exceed ½ page
<b>Response Instructions</b>	<ul style="list-style-type: none"> <li>• Discuss other funding sources (e.g., non-IBSGP grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation of this investment; and</li> <li>• If no other funding resources have been identified or if none are necessary, provide rationale as to why the requested FY 2011 IBSGP funding is sufficient for the implementation of this investment.</li> </ul>

**IV.D. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.**

<b>Page Limit</b>	Not to exceed 1 page
<b>Response Instructions</b>	<p>Applicants should supply a timeline indicating the proposed milestones within the project keeping in mind the performance period on the grant is up to 36 months. The sample table below may aid the applicant.</p> <ul style="list-style-type: none"> <li>• Only include major milestones that are critical to the success of the investment;</li> <li>• While up to 10 milestones may be provided, applicants should only list as many milestones as necessary to sufficiently describe the project;</li> <li>• Milestones are for this discrete investment – those that are covered by the requested FY 2011 IBSGP funds and will be completed over the 36-month grant period;</li> <li>• Milestones should be kept to high-level, major tasks that will need to occur;</li> <li>• Identify the planned start date associated with the identified milestone.</li> </ul>

	<p>The start date should reflect the date at which the earliest action will be taken to start achieving the milestone;</p> <ul style="list-style-type: none"> <li>• Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and</li> <li>• 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).</li> <li>• Examples of possible milestones: <ul style="list-style-type: none"> <li>○ Define kill switch implementation plan</li> <li>○ Complete installation</li> <li>○ Complete successful test of kill switches</li> </ul> </li> </ul>

### SAMPLE MILESTONES

Sample Project Milestones	Anticipated Dates
Grant is awarded	Award Date
Grantee works on EHP and Financial clearance	Award Date + 3 months
Grantee receives confirmation that special conditions are released	Release of Funds Date
Grantee works with vendors to obtain GPS Unit contract	Release Date + 1 month
Vendor equips GPS units onto buses	Release Date + 6 months
Grantee trains staff on new GPS units	Release Date + 7 months
GPS Project is complete	Release Date + 9 months
Grantee submits final closeout documents to FEMA GPD	Release Date + 12 months

### B. Sample Budget Detail Worksheet

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

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

Name/Position	Computation	Cost
		\$
<b>Total Personnel</b>		\$

**B. Fringe Benefits.** Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

Name/Position	Computation	Cost
		\$
<b>Total Fringe Benefits</b>		\$

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

Purpose of Travel	Location	Item	Computation	Cost
				\$
<b>Total Travel</b>				\$

**D. Equipment.** List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than one year. (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.

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

Item	Computation	Cost
		\$
<b>Total Equipment</b>		\$

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

Supply Items	Computation	Cost
		\$
<b>Total Supplies</b>		\$

**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.

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

Name of Consultant	Service Provided	Computation	Cost
			\$
<b>Subtotal – Consultant Fees</b>			\$

**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.)

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

Item	Location	Computation	Cost
			\$
<b>Subtotal – Consultant Expenses</b>			\$

**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. Any sole source contracts must follow the requirements set forth in 44 CFR Section 13.36.

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

Item	Cost
	\$
<b>Subtotal – Contracts</b>	\$
<b>Total Consultants/Contracts</b>	\$

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

**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.

Description	Computation	Cost
		\$
<b>Total Other</b>		\$

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

Description	Computation	Cost
		\$
<b>Total Indirect Costs</b>		\$

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

Budget Category	Federal Amount	Non-Federal Amount
A. Personnel	\$	\$
B. Fringe Benefits	\$	\$
C. Travel	\$	\$
D. Equipment	\$	\$
E. Supplies	\$	\$
F. Consultants/Contracts	\$	\$
G. Other	\$	\$
H. Indirect Costs	\$	\$

Total Requested Federal Amount	Total Non-Federal Amount
\$	\$
<b>Combined Total Project Costs</b>	
\$	

### **C. Vulnerability Assessment and Security Plan Certification Statement**

Operators that have already completed vulnerability assessments and developed security plans can use the below statement as their certification, and submit it as part of their grant application. Applicants are required to submit their vulnerability assessments and security plans to DHS upon request.

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

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**Signature**

**Date**

### ***Helpful Hints for Applicants***

Are the following components included in the application package?

- SF 424, SF 424A, SF 424B, SF 424C (if applicable), SF 424D (if applicable), and SF LLL
- IJs for projects
- Detailed budgets containing only allowable costs
- Vulnerability Assessment/Security Plan Certification (if applicable)

Are the following items addressed within the Investment Justification narratives and detailed budgets?

- Is the type of service provided easily identifiable in the application package (Fixed-route, Charter, or Both)?
- For charter bus companies, are the number of UASI service areas identified?
- Do the IJ and the detailed budget only include allowable costs?
  - Are all of the expenses in the detailed budget addressed in the IJ narrative? (for example, a camera equipment budget line item should be addressed in narrative form in the IJ as it pertains to the overall security program)
  - Does the information in the detailed budget align with the budget summary in the IJ narrative?
- Do IJs clearly explain how the projects fit into a funding priority area (as identified in Part I)?
- Does the IJ detail the value that this investment has in reducing the risk? Does it specify the current state of the company's security program, the gaps that must be filled to reduce risk, and how the project will fill that gap?
- Is the cost effectiveness of the project clearly explained in the IJ? How does this project provide a high security return on investment?
- Are timelines realistic and detailed?
- Are possible hurdles addressed in a clear and concise fashion?
- Does the M&A total no more than five percent (5%) of the total award?
- Do requested amounts in the IJ coincide with the amounts listed in the detailed budget?