



U.S. DEPARTMENT OF HOMELAND SECURITY

FISCAL YEAR 2011

INTERCITY PASSENGER RAIL - AMTRAK

**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 Passenger Rail (IPR) – Amtrak

Funding Opportunity Number: DHS-11-GPD-075-000-02

Catalog of Federal Domestic Assistance (CFDA) Number: 97.075

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 IPR Guidance Kit.** Due to continued stakeholder feedback and recommendations, Grant Programs Directorate (GPD) has reformatted its FY 2011 IPR 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 IPR; 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 IPR 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.
- **Sensitive Security Information (SSI) Requirements.** For the purposes of IPR, all Investment Justifications (IJs) 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. 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
- 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 26.

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PART I.

FUNDING OPPORTUNITY DESCRIPTION

The FY 2011 Intercity Passenger Rail (IPR) – Amtrak is one of five grant programs that constitute the Department of Homeland Security (DHS) Fiscal Year (FY) 2011 focus on transportation infrastructure security activities. These grant programs are part of 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. IPR provides funds to Amtrak to protect critical surface transportation infrastructure and the traveling public from acts of terrorism and to increase the resilience of the Amtrak rail system. The FY 2011 IPR is authorized by Section 1513 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).

The funding priorities for the FY 2011 IPR reflect the Department's overall investment strategy. Of these priorities two have been paramount – risk-based funding and regional security cooperation. This document also reflects changes called for in the 9/11 Act and the Public Law (Public Law 112-10).

Federal Investment Strategy

The IPR 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 IPR implements objectives addressed in a series of post-9/11 laws, strategy documents, plans, Executive Orders (EOs), 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. Private sector participation is integral to the Guidelines' success. 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. The 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. Additional information may also be found at http://www.dhs.gov/files/publications/gc_1189788256647.shtm.

IPR Program Management: Roles and Responsibilities at DHS. Effective management of the IPR entails a collaborative effort and partnership within DHS, the dynamics of which require continuing outreach, coordination, and interface. For the FY 2011 IPR, 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 rail and mass transit 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 Transit Administration (FTA), for rail and mass transit systems, and the Federal Railroad Administration (FRA), as needed for freight rail operations, determine the primary security architecture of the IPR program.

PART II. AWARD INFORMATION

Authorizing Statutes

The FY 2011 IPR is authorized by section 1513 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).

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 \$19,960,000.

Cost Match

There is no cost match required with FY 2011 IPR.

A. Funding Priorities

The Department has identified the following project types for the FY 2011 IPR. 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 the Department of Homeland Security related to protecting 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 Code of Federal Regulations (CFR) 1520. For additional information, please reference *Section II, Part 1.B.5.5.1.*

Protection of high risk/high consequence underwater and underground rail assets. Many of the Nation's largest transit systems have significant track miles and support large concentrations of riders in rail systems that run underground and underwater. It is the highest priority of the FY 2011 IPR to support measures that

protect underground rail system assets — particularly underwater assets — from terrorist attacks by improvised explosive devices (IEDs) or other threats that can damage or significantly breach such assets. Active coordination and regular testing of emergency evacuation plans can greatly reduce loss of life in serious incidents.

Planning. Planning for how to prevent, protect against, respond to, and recover from acts of terrorism is a core component in an agency's security framework. Vulnerability assessments, security plans, continuity of operations plans and risk mitigation plans all work to help identify focus areas that must be addressed to remediate risk, including action plans for how those identified risks will be addressed.

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

Use of visible, unpredictable deterrence. Visible and unpredictable security activities instill confidence and enhance security awareness in the riding public, and help prevent attacks by disrupting the ability of terrorists to prepare for and execute attacks. Examples include the mobile screening of passengers and luggage; the acquisition, training, and certification of explosives detection canine teams; training of law enforcement, security officials and front-line employees in behavioral pattern recognition; and procurement of mobile detection or screening equipment to identify the presence of explosives, residue, and other suspicious items on persons or in packages.

Emergency preparedness drills and exercises. In order to assess and enhance a system's capability to respond under a variety of serious incidents, transit agencies are encouraged to maintain an emergency drill and exercise program to test key operational protocols, including coordination with first responders. The IPR can support exercises related to terrorist attack scenarios (such as IEDs or chemical, biological, radiological, nuclear, and explosive [CBRNE] weapons attacks), natural disasters, and other emergencies. Such programs can take various forms, from table-top exercises to more comprehensive multi-agency full-scale exercises. IPR funds also support rigorous after-action assessments to identify further system improvements.

Public awareness and preparedness campaigns. A public awareness and preparedness program can employ announcements and postings in stations, transit vehicles, or other media to ensure awareness of heightened alert or threat conditions. Effective awareness programs including the "See Something, Say Something" campaign, enlist the public and explain specific actions the public can take to contribute to strengthening system security.¹

¹ For more information about citizen preparedness, see the Citizen Corps website at <http://www.citizencorps.gov/>

Protection of other high risk, high consequence areas or systems that have been identified through system wide risk assessments. It is imperative that transit agencies focus countermeasure resources on their highest risk, highest consequence areas or systems. The IPR will particularly support the development and enhancement of capabilities to prevent, protect against, and respond to terrorist attacks employing CBRNE weapons, particularly IEDs. For example, a system wide assessment may highlight the need to segregate critical security infrastructure from public access. One solution is an integrated intrusion detection system, which controls access to these critical facilities or equipment. Transit systems should consider security technologies to reduce the burden on security manpower. Using smart closed-circuit television (CCTV) systems in remote locations could free up security patrols to focus on more high risk areas.

Other. Security projects in line with, or addressing one or more of the 23 areas outlined in Sec. 1513 of the 9/11 Act will be considered.

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 IPR costs guidance.

1. Management and Administration (M&A). M&A costs may not exceed five percent (5%) of the total award. FY 2011 IPR 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 2011 IPR or the design, requirements, and implementation of the IPR
- 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

- Acquisition of authorized office equipment, including personal computers or laptops

2. Allowable Costs. Specific investments made in support of the funding priorities discussed above generally fall into one of the following five allowable expense categories:

1. Planning
2. Operational Activities
3. Equipment
4. Training
5. Exercises

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

Planning

FY 2011 IPR program funds may be used for the following types of planning activities:

- 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
- Other project planning activities with prior approval from DHS

Operational Activities

Three Operational Packages (OPacks) have been developed to support operational activities and are available for funding to Amtrak. DHS considers OPacks to be effective tactics for supporting the FY 2011 funding priorities for the IPR program.

Amtrak's request for OPacks funding must include the submission of a five-year Security Capital and Operational Sustainment Plan. This plan must include how the agency proposes to implement capital projects that will decrease the need for operational activities, and/or demonstrate how the agency will sustain the operational investments after grant funding has been expended. **Requests for OPacks will not be funded if the applicant does not have a Security Capital and Operational Sustainment Plan.**

DHS encourages Amtrak to develop innovative layered approaches to enhance both the human and facility security on transit systems. Helping mass transit systems and Amtrak increase randomness, unpredictability, and ultimate effectiveness of monitoring and patrol in their security and terrorism prevention programs is critical to National transit security. It is expected that OPack modules will be applied to address the security priorities. The following OPacks complement existing security

systems and provide appropriate, practical, and cost-effective means of protecting assets.

- **Explosive Detection Canine Teams (EDCT).** 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. EDCT are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. Funds can be used to establish dedicated Amtrak 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.
- **Anti-Terrorism Teams (ATT).** The ATT capability provided through the OPack program will offer IPR funding for dedicated transit ATT capability on a regular basis, rather than using teams for the surge capacity provided by DHS in the past. The ATT initiative aligns with DHS' risk-based strategy in confronting terrorist threats to potentially vulnerable public transit systems. ATTs do not supersede other local transit security forces; rather, they augment current capabilities with the unique strengths and expertise. Each ATT 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 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.
- **Mobile Explosive Screening Team.** The Mobile Explosive Screening Team OPack will allow Amtrak 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 36 month period – plus any approved extension(s). The monetary figures presented below are stated in terms of cost per period of performance (which indicates actual/complete funding for the 36 month period). Additionally, any OPack costs after the 36 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. Additional funding may be applied for in future grant cycles to maintain this operational capability but is not guaranteed. If these positions are not sustained, the State or local agency may not be eligible for this personnel support in the future.

Table 1: Available Funding for OPacks

	Operational Package	Funding per Year (12 months)	Funding per Period of Performance (36 months)
1.	Explosives Detection Canine Teams (EDCT)	\$150,000 per team	\$450,000 per team
2.	Anti-Terrorism Teams (ATT)	\$500,000 per team	\$1,500,000 per team
3.	Mobile Explosive Screening Team	\$600,000 per team	\$1,800,000 per team

OPack Requirements

IPR 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 Amtrak. Non-supplanting restrictions apply.

Table 2: OPack Requirements

OPacks	Requirements
Explosives Detection Canine Teams (EDCT)	Please refer to page 13 for detailed information regarding EDCTs under the IPR.
Anti-Terrorism Teams (ATT)	<p>Specific for the Canine Team within the ATT:</p> <ul style="list-style-type: none"> • Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization • Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification. 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 • The individuals hired for the covert and overt elements must be properly trained law enforcement officers • Certifications should be on file with the grantee and must be made available to DHS upon request
Mobile Explosives Screening Team	Certifications should be on file with the grantee and must be made available to DHS upon request

Allowable Expenses for OPacks

Table 3 identifies allowable expenses for the various OPacks. Please see the inserted footnotes for clarification of certain allowable costs.

Table 3: Allowable Expenses for OPacks

	OPacks	Salary and Fringe Benefits	Training and Certification ²	Equipment Costs	Purchase and Train a Canine	Canine Costs ³
1.	Explosives Detection Canine Teams (EDCT)	✓	✓	✓	✓ ⁴	✓
2.	Anti-Terrorism Teams (ATT)	✓	✓	✓	✓	✓
3.	Mobile Explosives Screening Team	✓		✓ ⁵		

Specific Guidance for EDCT

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. EDCTs are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. IPR funds can be used to establish dedicated Amtrak security/police EDCTs. 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.

Each EDCT, composed of one dog and one handler, must be certified by an appropriate, qualified organization. TSA Certified EDTCs will meet or exceed certification standards set for by the TSA National Explosives Detection Canine Team Program (NEDCTP). Grantee EDCTs that do not participate in the NEDCTP will be required to certify annually under their respective agency, local, and State regulations. The grantee will maintain certification, utilization, and training data to show compliance in meeting or exceeding those guidelines set forth by the Scientific Working Group on Dog and Orthogonal Detection Guidelines (SWGDOG), formulated as of September 14, 2007, in addition to requirements set forth in the grant guidance.

The grantee will ensure that certified EDCTs are available to respond to Amtrak 24 hours a day, seven days per week on an on-duty or off-duty on-call basis. If IPR-funded EDCTs are not available, other EDCTs (non-IPR funded) may be utilized for this response. The intent is to provide maximum coverage during peak operating hours and to maintain the ability to promptly respond to threats that affect public safety or mass transit operations.

The grantee will ensure that a written plan or standard operating policy and procedure (SOPP), exists that describes EDCT deployment policy to include visible and unpredictable deterrent efforts and on-call EDCTs rapid response times as

² Travel costs associated with training for personnel, handlers, and canines are allowable

³ Canine costs include but are not limited to: veterinary, housing, and feeding costs

⁴ Training specific to the detection of common explosives odors is allowable

⁵ 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

dictated by the agency's SOPP. The plan must be made available to DHS upon request.

EDCTs under this grant are single purpose and will be trained to detect "live" not "simulated" explosives only. EDCTs must not have received previous training to detect any other substances.

The grantee will ensure that each EDCT receives on-site proficiency training at a minimum of four hours per week/duty cycle. This training shall include, but not be limited to: mass transit passenger cars, terminal/platform, luggage, freight/warehouse, and vehicles. Complete, detailed, and accurate training records must be maintained for all proficiency training conducted by each EDCT. These records must be made available to DHS upon request.

The grantee will conduct appropriate training or other canine activities, within view of the public, to increase public awareness of EDCTs and provide a noticeable deterrent to acts, which affect public safety or mass transit operations. The grantee will also ensure that such activities include, over a period of time, a presence in operational areas of the mass transit system during peak and off-peak hours. The grantee agrees that EDCTs will be utilized at 100 percent (100%) of their duty time, at Amtrak.

The grantee will comply with requirements for the proper storage, handling, and transportation of all explosive training aids in accordance with Bureau of Alcohol, Tobacco, and Firearms Federal Explosive Law and Regulations as outlined in publication ATF P 5400.7 (09/00).

The grantee will ensure that a written security procedure plan exists for the safekeeping of all explosive training aids, to include safe transportation. The grantee will document the removal, use and return of explosive training aids used during training exercises or for any other reason. The plan and all documentation must be made available to DHS upon request.

The grantee will provide safe and sanitary kennel facilities for program canines. This applies to kenneling canines at the mass transit system, handlers' residences, or commercial boarding facilities. Canines must not be left in makeshift accommodations or without proper supervision, protection, and care. The grantee will ensure that canines are transported on-duty and off-duty in vehicles configured with adequate temperature control, padding, and screening to ensure proper health, safety, and security.

The grantee will ensure that adequate routine and emergency veterinary care for all canines is provided.

DHS reserves the right to conduct an on-site operational and record review upon 48-hour notice to ensure compliance with applicable Federal regulations.

Other Allowable Costs – Maintenance and Sustainment. The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. Grantees are reminded to be sensitive to supplanting issues. Maintenance contracts and warranties, repair and replacement costs, upgrades, and/or user fees for equipment that was not originally purchased with preparedness grant funding (or provided by DHS components listed in Information Bulletins [IB] 336) may not be subsequently paid for with preparedness grant funding. Please refer to GPD's IBs 336 and 348, located at <http://www.fema.gov/government/grant/bulletins/index.shtm>. Routine upkeep (i.e. gasoline, tire replacement, routine oil changes, monthly inspections, grounds and facility maintenance etc.) is the responsibility of the grantee and may not be funded with preparedness grant funding.

Maintenance Contracts and Warranties. To increase the useful life of the equipment, maintenance contracts and warranties may be purchased using grant funding from one fiscal year to cover equipment purchased with funding from a different fiscal year. The use of grant funding for the purchase of maintenance contracts and warranties must meet the following conditions:

- Maintenance contracts and warranties may only be purchased for equipment that has been purchased using FEMA preparedness grant funding
- To avoid supplementing Congressional appropriations for specific programs, maintenance contracts and warranties must be purchased using funds from the same grant program used to purchase the original equipment
- The term of the maintenance contract or warranty shall not exceed the period of performance of the grant to which the contract is being charged
- **Repair and Replacement Costs.** The cost of repair and replacement parts for equipment purchased using FEMA preparedness grant funding is an allowable expense.
 - Repair and replacement parts may only be purchased for equipment that has been purchased using FEMA preparedness grant funding.
 - To avoid supplementing Congressional appropriations for specific programs, repair and replacement parts must be purchased using the same grant program used to purchase the original equipment.
- **Upgrades.** FEMA preparedness grant funding may be used to upgrade previously purchased allowable equipment. For example, if the grantee purchased risk management software with HSGP funds in FY 2005 and would like to use FY 2011 grant funding to upgrade the software, this is allowable.
 - Upgrades may only be purchased for equipment that has been purchased using FEMA preparedness grant funding

- To avoid supplementing Congressional appropriations for specific programs, upgrades must be purchased using the same grant program used to purchase the original equipment
- **User fees.** User fees are viewed as costs for specific services required to maintain and provide continued operation of equipment or systems. An example would be the recurring service fees associated with handheld radios or mobile data computers.
 - User fees may only be paid for equipment that has been purchased using FEMA preparedness grant funding
 - To avoid supplementing Congressional appropriations for specific programs, user fees must be paid for using the same grant program used to purchase the original equipment. The service time purchased shall not exceed the period of performance of the grant to which the user fee is being charged.
- **Implementation.** Planned or actual expenditures for maintenance contracts and warranties, repair and replacement costs, upgrades, and user fees must be reflected in the Initial Strategy Implementation Plan or Biannual Strategy Implementation Report

Grantees must comply with all the requirements in 44 CFR Part 13 and 2 CFR Part 215.

Construction Projects Guidance. FY 2011 IPR 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*, for Environmental Planning and Historic Preservation (EHP) Compliance and *Section II, Part I.B.1.1.4* for requirements related to Duplication of Benefits.

Equipment

FY 2011 IPR 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:

- Personal protection equipment
- Explosive device mitigation and remediation equipment
- CBRNE operational search and rescue equipment, logistical support equipment, reference materials or incident response vehicles, including response watercraft
- Interoperable communications equipment
- Efforts to address flaws in the computerized systems that control generators, switching stations, and electrical substations as well as other emerging threats to infrastructure critical to the U.S. economy

- Detection equipment
- Decontamination equipment
- Medical supplies and limited pharmaceuticals
- Power equipment
- Terrorism incident prevention equipment
- Physical security enhancement equipment

Unless otherwise noted, equipment must be certified that it meets required regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. Equipment must comply with the Occupational Safety and Health Administration 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 <https://www.rkb.us/lists.cfm>. DHS adopted standards are found at <http://www.dhs.gov/xfrstresp/standards>.

Training

FY 2011 IPR 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. Grantees are strongly encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** To support training-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 awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation as specified in *Part II.B.2 - Exercises*. In no case is dual compensation allowable.
- **Overtime and Backfill.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. 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 p.m. to 5:00 p.m.), even though such work may benefit both activities.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related to approved training
- **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, non-sterile masks). These costs will be considered M&A.
- **Other Items.** These costs may include the rental of space/locations for planning and conducting training
- **Funds Used to Develop, Deliver, and Evaluate Training,** including costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment
- **Certification/Recertification of Instructors.** States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. This information is contained in an IB 193, issued October 20, 2005.

Exercises

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

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise.** Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Grantees are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) – whichever is more stringent – must be followed. In no case is dual compensation allowable.
- **Overtime and Backfill.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. 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 p.m. to 5:00 p.m.), even though such work may benefit both activities.

- **Travel.** Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of 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, disposable protective equipment)
- **Other Items.** These costs may include space/location/facilities for exercise planning and conduct as well as rental of equipment (e.g., portable toilets, tents, food, gasoline). Grantees are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. This may also include costs for signs, badges, and similar materials.

3. 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)
- Activities unrelated to the completion and implementation of the IPR
- Other items not in accordance with the AEL or previously listed as allowable costs

PART III.

ELIGIBILITY INFORMATION

A. Eligible Applicants

The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under FY 2011 IPR.

DHS will partner with Amtrak to develop security enhancements for eligible intercity passenger rail operations in all eligible Urban Areas Security Initiative (UASI) areas Amtrak passes through or services.

Amtrak is encouraged to fully integrate and coordinate with regional transit entities in the conduct of developing security enhancements.

B. Governance

National Incident Management System (NIMS) Implementation

In accordance with 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).⁶ The list of objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#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 concerning NIMS implementation for States, Tribal nations, local governments,

⁶ 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)

nongovernmental organizations, and the private sector is available through the NIC at FEMA's NIMS Resource Center at 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.

The primary grantee/administrator of FY 2011 IPR 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, Investment Justification, 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
- Budget Detail Worksheet

The program title listed in the CFDA is "*Rail and Transit Security Grant Program*." The CFDA number is **97.075**.

- 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 (IJs).** As part of the FY 2011 IPR application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including M&A costs. Applicants may submit up to 15 IJs. 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 DHS. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

IJs 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 the Investment Justifications as part of the FY 2011 IPR:

Investment Justification (through <https://portal.fema.gov>) ensure file attachment

Name of Applicant_IJ Number (Example: Amtrak_IJ#1)

Applicant must provide information in the following categories for **each** proposed investment:

- I. Background
- II. Strategic and Program Priorities
- III. Impact
- IV. Funding/Implementation Plan

Applicant will find an IJ Template in *Section I, Part VI.A*. This worksheet may be used as a guide to assist applicants in the preparation of the IJ.

- 5. Detailed Budget.** The applicant must also provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within <https://portal.fema.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.

Applicants must use the following file naming convention when submitting detailed budgets as part of the FY 2011 IPR:

Detailed Budget Narrative (through <https://portal.fema.gov>); ensure file attachment Agency_IJ Number_Budget (Example: Amtrak_IJ#1_Budget)

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

Note: Design and Planning/Engineering costs must be a separate line item and clearly identified as such in order for partial funding to be released prior to Environmental Planning and Historic Preservation (EHP) review and approval of the project concerned.

- 6. Operational Packages (OPacks).** The applicant electing to pursue OPack funding is required to submit additional documentation and is subject to additional requirements.

For the applicant electing to pursue OPacks, the following must also be submitted:

- A certification statement and supporting documentation from the agency's chief operating official or designee that certifies in writing:
 - The current capability (without Federal funding) for each eligible position (Canine, ATT, etc);
 - The agency's understanding that funds being used under this provision will only be 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 FY 2011 IPR funding by DHS until the new full-time officers are in place;
 - The agency's understanding of the six-month limitation on overtime referenced above; and
 - The agency's understanding that, after the 36-month period of performance, the positions will become the responsibility of the employing agency to sustain. Failure to sustain the level of capability established by the grant will result in disqualification from using future IPR awards for operational expenses.
- 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. This process must be developed and submitted for review within 60 days of the grant award. The results of these audit activities must be submitted to DHS for review on a semiannual basis.
- A five-year Security Capital and Operational Sustainment Plan. This plan must include how the agency proposes to implement capital projects that will decrease the need for operational activities, and/or demonstrate how the agency will sustain the operational investments after grant funding has been expended. **Requests for OPacks will not be funded if the agency does not have a Security Capital and Operational Sustainment Plan.**

In addition, awardees must commit to minimum training standards to be set by the Department for all Federally funded security positions.

Below is the necessary certification statement.

I, [insert name], as the [insert title] of [insert agency name], request funds from the Fiscal Year (FY) 2011 Intercity Passenger Rail Program (IPR) 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 2011 IPR or to pay for initial overtime costs associated with establishing the OPack position capability approved for FY 2011 IPR funding by DHS until the new full-time officers are in place. I also confirm [agency name]'s understanding that, after a 36-month period of performance, positions funded with these operational funds will no longer qualify for Federal funding under this or future IPR awards. In all cases, the activities paid for by the FY 2011 IPR 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 IPR awards for operational activities.

Signature

Date

- 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 IPR, all IJs 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. 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
- 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 IPR and other preparedness grant programs, this is accomplished via FEMA's EHP Review.

Grantees must comply with all applicable EHP laws, regulations, and EOs in order to draw down their FY 2011 IPR 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). Any proposed project funded through IPR that involves the installation of equipment or ground-disturbing activities must undergo the 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. Refer to IBs 329, 345, 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 completed application must be submitted to DHS via <http://www.grants.gov> (see below for details about this Federal grants application tool) by **no later than 11:59 p.m. EDT, June 20, 2011**. DHS will evaluate and act on the application within 60 days following close of the application period.

Amtrak must comply with all administrative requirements described herein — including IJs, budgets, and application process requirements. Having met all administrative requirements, the application will be evaluated based on:

1. **Funding priorities.** Projects will be evaluated and prioritized based on the extent to which they address the specific funding priorities contained in the FY 2011 IPR (Amtrak) Program Guidance and Application Kit
2. **Cost effectiveness.** Projects will be evaluated and prioritized on the expected impact on security relative to the investment
3. **Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk
4. **Sustainability without additional Federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance
5. **Timelines.** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes

B. Review and Selection Process

DHS will enter into a cooperative agreement with Amtrak. The nature of the Federal involvement in the execution of this program may include joint participation in a project. Other examples of prospective substantial Federal involvement include the following:

- Collaboration, participation, and/or intervention in any activity covered by the cooperative agreement
- Approval from DHS prior to the selection of a new project or commencement of the next phase of an approved project
- Authority for DHS to halt an activity if detailed performance specifications are not met
- Authority for DHS to direct or redirect the scope of work of a project based on new circumstances

- Authority for DHS to create a working group of key Federal and private sector stakeholders to provide guidance and coordination for transit security activities

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.

PART VI. OTHER INFORMATION

A. Investment Justification Template

Investment Heading	
Date	
Applicant	
Region and Urban Area(s) Impacted	
Investment Name	
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 point(s) of contact for this investment.	
Response Type	Narrative
Response Instructions	Identify the following: <ul style="list-style-type: none"> • Point of contact's (POC) name and title; • POC's full mailing address; • POC's telephone number; • POC's fax number; • POC's email address; and • Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.
Response:	

I.B. Describe the operating system.	
Response Type	Narrative
Response Instructions	Describe the following: <ul style="list-style-type: none"> • Infrastructure; • Ridership data; • Number of passenger miles; • Number of vehicles and/or vessels; • System map; and • Other sources of funding being leveraged for security enhancements.
Response	

II. Strategic and Program Priorities

II.A. Provide an abstract for this investment.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Describe what the project is, how it will be executed, and its purpose. • Define the vision, goals, and objectives for the risk reduction, and

	<p>summarize how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols);</p> <ul style="list-style-type: none"> • Describe the specific needs and/or resource limitations that need to be addressed; • Identify any potential partners and their roles and staffing requirements, and provide information on any existing agreements such as Memoranda of Understanding (MOU); • 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); • Describe progress made on the security project this investment will be completing, if applicable; and • Reference use of prior year grant funds, if applicable <p><i>Note: Ensure that details on purchases within this section match what is outlined in the detailed budget.</i></p>
Response	

II.B. Describe how this investment specifically addresses one or more of the funding priorities identified in the current year grant guidance.	
Response Type	Narrative
Response Instructions	<p>Describe how the investment addresses one or more of the following:</p> <ul style="list-style-type: none"> • Protection of high risk/high consequence underwater/underground assets and systems; • Protection of other high risk/high consequence assets and systems that have been identified through system-wide risk assessments; • Use of visible, unpredictable deterrence; • Targeted counter-terrorism training for key front-line staff; • Emergency preparedness drills and exercises; and • Public awareness and preparedness campaigns.
Response	

III. Impact

III.A. Discuss how the implementation of this investment will decrease or mitigate risk. Describe how the project offers the highest risk reduction potential at the least cost. Include output and outcome metrics	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) in a cost effective manner by addressing the needs and priorities identified in earlier analysis and review; • 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); and • 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.
Response	

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> Complete the chart below to identify the amount of funding Amtrak is requesting for <u>this investment only</u>; Funds should be requested and detailed by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration.); Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and Applicants must indicate whether additional funding (non-FY 2011 grants) will be leveraged for this investment. <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.</i></p>
Response	

The following template illustrates how Amtrak should indicate the amount of FY 2011 IPR funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY 2011 IPR funds will be utilized:

	Federal Request Total	Other Funding Sources Applied	Grand Total
Planning			
Equipment			
Training			
Exercises			
Operational Packages			
M&A			
Total			

IV.B. Discuss funding resources beyond the current fiscal year grant funding that have been identified and will be leveraged to support the implementation and sustainment of this investment.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> Give the expected total life-span for this investment if fully implemented and sustained through completion; Discuss other funding sources (e.g., non-Federal grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment; If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY 2011 Amtrak funding is sufficient for the implementation and sustainment of this investment; and Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.
Response	

IV.C. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> Only include major milestones that are critical to the success of the investment; While up to 10 milestones may be provided, Amtrak should only list as many milestones as necessary; Milestones are for this discrete investment – those that are covered by the requested FY 2011 Amtrak funds and will be completed over the 36-month grant period; Milestones should be kept to high-level, major tasks that will need to occur; Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).
Response	

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

Investment Justification (IJ) Submission and File Naming Convention

IJs 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 the IJs as part of the FY 2011 IPR:

Investment Justification (through <https://portal.fema.gov>) ensure file attachment

Name of Applicant_ IJ Number (Example: Amtrak_IJ_#1)

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
		\$
	Total Personnel	\$

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
		\$
Total Fringe Benefits		\$

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

Purpose of Travel	Location	Item	Computation	Cost
				\$
Total Travel				\$

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
		\$
Total Equipment		\$

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

Supply Items	Computation	Cost
		\$
Total Supplies		\$

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
			\$
Subtotal – Consultant Fees			\$

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
			\$
Subtotal – Consultant Expenses			\$

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
	\$
Subtotal – Contracts	\$
Total Consultants/Contracts	\$

G. Other Costs. List items (e.g., reproduction, janitorial or security services, and investigative services) 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
		\$
Total Other		\$

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

Description	Computation	Cost
		\$
Total Indirect Costs		\$

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 ⁷
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
\$	\$
Combined Total Project Costs	
\$	

Detailed Budget Submission and File Naming Convention

Investment Justifications 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 detailed budgets as part of the FY 2011 IPR:

Detailed Budget (through <https://portal.fema.gov>) ensure file attachment State_Region_IJ Number_Budget (Example: Amtrak_IJ#1_Budget)

⁷ FY 2011 IPR does not require matching funds; this section should be left blank for all FY 2011 IPR applications

Helpful Hints for Applicants

Are the following components included in the application package?

- SF 424, SF 424A, SF 424B, SF LLL
- IJs for projects
- Detailed budgets containing only allowable costs
- Vulnerability assessments/security plan certification (if applicable)

Are the following items addressed within the IJ narratives and detailed budgets?

- 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?
 - Are planning and design costs clearly delineated in the budget, as separate from implementation/installation costs? (Planning and design costs may be released before implementation/installation costs, as planning and design costs do not require extensive EHP review.)
- Does the IJ clearly explain how the projects fit into a funding priority area (as identified in Part I)?
- Does the IJ discuss how this investment will specifically address one or more of the project effectiveness groups identified in the current year's grant guidance?
- Does the IJ discuss how this investment will decrease or mitigate risk?
- 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?
- Grantee shall not submit a drawdown request for funds without GPD authorization; see *Section II, Part 1.C*.