

FY 2012 INTERCITY PASSENGER RAIL (IPR) - AMTRAK FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

OVERVIEW INFORMATION

Issued By

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

Catalogue of Federal Domestic Assistance (CFDA) Number

97.075

CFDA Title

Rail and Transit Security Grant Program

Funding Opportunity Announcement Title

Fiscal Year (FY) 2012 Intercity Passenger Rail (IPR) - Amtrak

Authorizing Authority for Program

Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53)

Appropriation Authority for Program

The Consolidated Appropriations Act, 2012, Division D (Public Law 112-74)

FOA Number

DHS-12-GPD-075-000-01

Key Dates and Time

Application Start Date: 02/17/2012

Application Submission Deadline Date: 05/04/2012 at 11:59:59 p.m. EDT

Anticipated Funding Selection Date: 06/29/2012

Award Date: 09/30/2012

Other Key Dates

Applying for FY 2012 IPR Program funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published but no later than **April 27, 2012**. This involves submitting a complete Standard Form 424 to Grants.gov. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to Grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the Non Disaster (ND) Grants system. The

submission deadline for the full application package is **May 4, 2012**. For additional details see Section X within the full FOA.

Intergovernmental Review

Is an intergovernmental review required?

☐ Yes ☒ No

FOA EXECUTIVE SUMMARY

Program Type

Select the applicable program type:

☐ New ☒ Continuing ☐ One-time

Date of origin for Program: 01/04/2007

Opportunity Category

Select the applicable opportunity category:

☒ Discretionary ☐ Mandatory ☐ Competitive ☐ Non-competitive ☒ Sole Source

Justification:

- *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (hereafter "9/11 Act")
SEC. 1513. Railroad Security Assistance
(a) Security Improvement Grants.—(1) The Secretary, in consultation with the Administrator of the Transportation Security Administration and other appropriate agencies or officials, is authorized to make grants to railroad carriers, the Alaska Railroad, security-sensitive materials offerors who ship by railroad, owners of railroad cars used in the transportation of security-sensitive materials, State and local governments (for railroad passenger facilities and infrastructure not owned by Amtrak), and Amtrak for intercity passenger railroad and freight railroad security improvements described in subsection (b) as approved by the Secretary.
- *The Consolidated Appropriations Act, 2012, Division D*, (Public Law 112-74)
State And Local Programs
For grants, contracts, cooperative agreements, and other activities,
\$1,349,681,000, which shall be distributed, according to threat, vulnerability, and consequence, at the discretion of the Secretary of Homeland Security based on the following authorities:
...
(5) Public Transportation Security Assistance and Railroad Security Assistance, under sections 1406 and 1513 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (6 U.S.C. 1135 and 1163), including Amtrak security: Provided, that such public transportation security assistance shall be provided directly to public transportation agencies.

Application Process

DHS makes all funding opportunities available through the common electronic "storefront" Grants.gov, accessible 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."

For additional details on how to apply please refer to Appendix A - *Application Submission Information*.

Eligible Applicants

The following entities are eligible to apply directly to FEMA under this solicitation:

☒ Other (Amtrak)

For additional information, see the *Eligibility Information* section of this FOA.

Type of Funding Instrument

Select the applicable funding instrument:

☐ Grant ☒ Cooperative Agreement

IPR Program Management: Roles and Responsibilities at DHS (Substantial Role of Federal Agency)

Effective management of the IPR Program entails a collaborative effort and partnership within DHS, the dynamics of which require continuing outreach, coordination, and interface. For the FY 2012 IPR Program, 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.

Cost Share or Match

Select the applicable requirement:

☐ Cost Match ☐ Cost Share ☒ None Required

Maintenance of Effort

Is there a Maintenance of Effort (MOE) requirement?

☐ Yes ☒ No

Management and Administration

Management and Administration (M&A) costs may not exceed five percent (5%) of the total award. FY 2012 IPR Program 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 2012 IPR Program or the design, requirements, and implementation of the IPR Program
- 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

FULL FOA

I. Funding Opportunity Description

Program Overview and Priorities

The IPR Program is one of the DHS's FY 2012 grant programs which directly support 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. The IPR Program 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.

Program Objectives

The FY 2012 IPR Program plays an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the *National Preparedness Goal* (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 IPR Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

Examples of tangible outcomes from FY 2012 IPR Program include building and sustaining core capabilities through:

- Protection of high risk/high consequence underwater and underground rail assets
- Planning
- Use of visible, unpredictable deterrence

For additional information on program priorities and objective for FY 2012 IPR Program, refer to Appendix A – *FY 2012 IPR Program Priorities*.

II. Funding Information

Award Amounts, Important Dates, and Extensions

Available Funding for the FOA: \$10,000,000

Projected Award Start Date(s): 09/30/2012

Projected Award End Date(s): 09/30/2014

Period of Performance: 24 months

The grantee must accept its grant awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain

on hold until the grantee accepts the award through official correspondence (e.g., written, electronic signature, signed letter or fax to the Grant Programs Directorate [GPD]) and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

For details on funding amounts please refer to Appendix B – *Funding Guidelines*

Period of Performance

Is an extension to the period of performance permitted?

☒ Yes ☐ No

The periods of performance outlined above support the effort to expedite the outlay of grant funding and provide economic stimulus. The grantee should request waivers sparingly, and they will be granted only due to compelling legal, policy, or operational challenges. For example, the grantee may request waivers from the deadlines outlined above for discretionary grant funds where adjusting the timeline for spending will constitute a verifiable legal breach of contract by the grantee with vendors or sub-recipients, or where a specific statute or regulation mandates an environmental review that cannot be completed within this timeframe or where other exceptional circumstances warrant a discrete waiver.

Additional Funding Information

In FY 2012, the total amount of funds distributed under this grant program will be \$10,000,000. The FY 2012 IPR Program funds will be allocated based on the funding priorities outlined in Appendix A – *FY 2012 IPR Program Priorities*.

III. Eligibility Information

The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under the FY 2012 IPR Program.

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.

IV. Funding Restrictions

Restrictions on Use of Award Funds

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.

For additional details on restrictions on the use of funds please refer to Appendix B - *Funding Guidelines*.

V. Application Review and Selection Process

Application Review Information

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, May 4, 2012**. 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 Investment Justifications, 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 2012 IPR Program FOA
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

Application Selection Process

Based on previously cited statutory authorities, DHS has elected to 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 ND Grants. 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.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award

In addition to program-specific administrative, financial, and reporting requirements outlined below, successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Terms and Conditions available on page 6 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Upon approval of an application, the award will be made in the form of a cooperative agreement. The date the approval of award is entered in the system is the "award date." Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

Administrative and Federal Financial Requirements

The grantee is obliged to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. Future awards and fund drawdowns may be withheld if these reports are delinquent.

1. **Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including

partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through Payment and Reporting System (PARS).

2. **Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, the grantee must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

Programmatic Reporting Requirements

1. **Program Performance Report (SF-PPR).** Awardees are responsible for providing updated performance reports using the SF-PPR (Office of Management and Budget [OMB] Control Number: 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). The SF-PPR can be accessed online at http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf.
2. **Exercise Evaluation and Improvement.** Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program located at <https://hseep.dhs.gov>.
3. **Monitoring.** Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

VII. DHS FEMA Contact Information

Contact and Resource Information

This section describes several resources that may help applicants in completing a FEMA grant application. These points of contact are also available for successful applicants who may require assistance during execution of their award.

Financial and Administrative Information

1. **Grant Programs Directorate.** FEMA GPD's Grant Operations Division Business Office will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. Callers will be directed to a point of contact who will be able to assist with their financial or administrative question. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.
2. **FEMA Regions.** FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.
3. **GPD Environmental Planning and Historic Preservation (GPD-EHP).** The FEMA GPD-EHP Team provides guidance and information to grantees and sub-grantees related to submission of materials for EHP review. All EHP Review Packets should be sent to gpdehpinfo@fema.gov.

Programmatic Information

1. **Centralized Scheduling and Information Desk (CSID).** CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. When necessary, grantees will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at askcsid@dhs.gov, Monday through Friday, 9:00 a.m. – 5:30 p.m. (EST).

Systems Information

1. **Grants.gov.** For technical assistance with Grants.gov, please call the Grants.gov customer support hotline at (800) 518-4726.
2. **ND Grants.** For technical assistance with the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

VIII. Other Critical Information

National Incident Management System (NIMS) Implementation

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities.

Prior to allocation of any Federal preparedness awards in FY 2012, grantee must ensure compliance and/or alignment with FY 2011 NIMS implementation plan. 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>.

The primary grantee/administrator of FY 2012 IPR Program award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

IX. How to Apply

Application Instructions

As part of the FY 2012 IPR Program application process, applicants must develop a formal Investment Justification (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 and link to one or more capabilities identified in the NPG. 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 their IJ attachments through <https://portal.fema.gov> as part of the FY 2012 IPR Program:

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

Applicants will find an IJ Template in Appendix C – *FY 2012 IPR Program Investment Justification Template*. This worksheet may be used as a guide to assist applicants in the preparation of the IJ.

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 through <https://portal.fema.gov> as part of the FY 2012 IPR Program:

Agency_IJ Number_Budget (Example: Amtrak_IJ 1_Budget)

Applicants will find a sample Budget Detail Worksheet in Appendix D – *Sample Budget Detail Worksheet*. This worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative.

Operational Packages (OPacks)

The applicant may elect to pursue OPack funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti Terrorism Teams, for new capabilities as well as to sustain existing OPacks.

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

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 Title 49, Part 1520, Section 7 of the Code of Federal Regulations (49 CFR 1520.7).

For the purposes of the IPR Program, all Investment Justifications shall be considered SSI and treated as such. This requires that the grantee label the IJ as SSI and password protect it prior to submission. The passwords for protected documents must be sent in a separate email from the IJ 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, 9:00 a.m. – 5:30 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
- Point of Contact (POC) information

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

Environmental and Historic Preservation Review

FEMA is legally required to consider the potential impacts of all IPR Program projects on environmental resources and historic properties. The grantee must comply with all applicable EHP laws, regulations, and Executive Orders (EO) in order to draw down their FY 2012 IPR Program grant funds. To avoid unnecessary delays in starting a project, the grantee is encouraged to pay close attention to the reporting requirements for an EHP review. For more information on FEMA's EHP requirements, the grantee should refer to Information Bulletins (IB) 329 and 345 (<http://www.fema.gov/government/grant/bulletins/index.shtml>).

FY 2012 IPR Program if the grantee uses funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors 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>.

When applying for construction funds, including communications towers, at the time of application, the grantee is highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., completing the Federal Communications Commission's [FCC] Section 106 review process for tower construction projects; coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects). Projects for which the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 CFR 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six (6) months of the award and completed EHP review packets

must be submitted no later than 12 months before the end of the Period of Performance. EHP review packets should be sent to gpdehpinfo@fema.gov.

X. Application and Submission Information

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”, enter the CFDA number (97.075) or the FOA number (DHS-12-GPD-075-000-01), and 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.”

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>. The eligible grantee 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

Applying for FY 2012 IPR Program funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to <http://www.grants.gov>. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to Grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is May 4, 2012.

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 ndgrants@fema.gov or (800) 865-4076. 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. Unless otherwise referenced, 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 (see *Appendix C – FY2012 IPR Program Investment Justification Template*)
- Budget Detail Worksheet (see *Appendix D – Sample Detailed Budget 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>.

Applicants will obtain FOA Overviews and Full Announcement information from the Grants.gov website where the full FOA is posted.

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Announcement is: (800) 462-7585.

Applications will be processed through the Grants.gov portal or the ND Grants system.

Hard copies of the application will not be accepted.

Appendix A – FY 2012 IPR Program Priorities

Presidential Policy Directive 8: National Preparedness

Presidential Policy Directive 8: National Preparedness (PPD-8), signed on March 30, 2011, describes the Nation's approach to preparing for the threats and hazards that pose the greatest risk to the security of the United States. National preparedness is the shared responsibility of our whole community. Every member contributes, including individuals, communities, the private and nonprofit sectors, faith-based organizations, and Federal, State, and local governments. We describe our security and resilience posture through the core capabilities that are necessary to address risks, and we will use an integrated, layered, and all-of-Nation approach as our foundation. We define success as a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.

National preparedness is the shared responsibility of all levels of government, the private and nonprofit sectors, and individual citizens. The objective of PPD-8 is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness.

Using the core capabilities, we achieve the NPG by:

- Preventing, avoiding, or stopping a threatened or an actual act of terrorism.
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards in a manner that allows our interests, aspirations, and way of life to thrive.
- Mitigating the loss of life and property by lessening the impact of future disasters.
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident.
- Recovering through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

The core capabilities contained in the NPG are the distinct critical elements necessary for our success. They are highly interdependent and will require us to use existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the administrative, finance, and logistics systems are in place to support these capabilities. The core capabilities represent an evolution from the Target Capabilities List (TCL). The transition from TCL to core capabilities expands the focus to include mitigation and allows greater focus on prevention and protection activities.

To support building, sustaining, and delivering these core capabilities the grantee will use elements of the National Preparedness System (NPS). The NPS is to be an

integrated set of guidance, programs, and processes that can be implemented and measured at all levels of government, thereby enabling the Nation to achieve the Goal.

Building and Sustaining Core Capabilities

Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential of these capabilities are the core capabilities identified in the NPG. Complex and far-reaching threats and hazards require the whole community to integrate preparedness efforts in order to build, sustain, and deliver the core capabilities and achieve the desired outcomes identified in the NPG.

Working together subject matter experts, government officials, and elected leaders can develop strategies to allocate resources effectively, as well as leverage available assistance to reduce risk. These strategies consider both how to sustain current levels of capability and address gaps in order to achieve the NPG. Achieving the NPG will require participation and resource support from all levels of government. Not all capabilities can be addressed in a given funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of capabilities to most effectively ensure security and resilience while understanding the effects of not addressing identified gaps. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Grants and technical assistance may also be available to support building and sustaining capabilities. Consideration must also be given to finding, connecting to, and strengthening community resources by leveraging the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions may also choose to use mutual aid agreements to fill gaps or work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government to address a gap in capability. This expectation should be communicated well before the time arises when the capabilities are most urgently needed.

As these issues are considered in light of the eligible activities an effective risk assessment must guide jurisdictions' efforts. This risk picture will cover the range of threats and hazards, from those a community faces daily to those infrequent events that would stress the core capabilities of a jurisdiction. Coupled with the desired outcomes established by a community, this combined perspective is crucial to enabling all levels of government to effectively estimate the level of capabilities required to address its risks.

Files and information on PPD-8 can be found at <http://www.fema.gov/ppd8>.

The President's FY 2013 budget has proposed substantial changes to DHS grant programs. FY 2012 grant programs will prepare grantees for the transition to new requirements in FY 2013 in the following ways:

- Begin the process of transitioning from separate preparedness grant programs in FY 2011 to a more streamlined model within the construct of the FY 2012 appropriations
- Continue the transition to address the core capabilities outlined in the NPG
- Implement a two year period of performance with very limited extensions

Grantees are encouraged to familiarize themselves with the grant proposals in the President's FY 2013 budget.

FY 2012 IPR Program and Alignment to PPD-8

The FY 2012 IPR Program plays an important role in the implementation of PPD-8 by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the NPG. The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 IPR Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

Sustaining IPR Program Capabilities

In this time of limited resources, IPR Program grantees should ensure that grant funding is utilized to sustain core capabilities within the NPG that were funded by past IPR Program funding cycles. New capabilities should not be built at the expense of maintaining current, essential capabilities. However, if new capabilities are being built utilizing IPR Program funding, grantees must ensure that the capabilities have a clear linkage to one or more core capabilities in the NPG.

The Department has identified the following project types for the FY 2012 IPR Program.

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 2012 IPR Program to support measures that protect assets on the Top Transit Asset List, including underground rail system assets — particularly underwater assets — from terrorist attacks by improvised explosive devices (IED) 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.

Use of visible, unpredictable deterrence. Visible and unpredictable security activities 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.

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.

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 Program can support exercises related to terrorist attack scenarios (such as IEDs or chemical, biological, radiological, nuclear, and explosive [CBRNE] weapons attacks, cyber attacks and denials of service), natural disasters, continuity disruptions, and other emergencies. Such programs can take various forms, from table-top exercises to more comprehensive multi-agency full-scale exercises. IPR Program 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 promote constant vigilance and provide awareness of heightened alert or threat conditions. Effective awareness programs including the "See Something, Say SomethingTM" public awareness campaign enlist the public and explain specific actions the public can take to contribute to strengthening system security.

Protection of other high risk, high consequence areas or systems that have been identified through system wide risk assessments. Transit agencies should focus countermeasure resources on the highest risk, highest consequence areas or systems. The IPR Program will support the development and enhancement of capabilities to prevent, protect against, and respond to terrorist attacks employing CBRNE weapons, IEDs and cyber system disruptions. 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 22 permitted uses of funds outlined in Sec. 1513 of the 9/11 Act will be considered.

Appendix B – Funding Guidelines

IPR Program grant recipients and sub-recipients may only use IPR Program grant funds 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 Program costs guidance.

1. Management and Administration. M&A costs may not exceed five percent (5%) of the total award. FY 2012 IPR Program 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 2012 IPR Program or the design, requirements, and implementation of the IPR Program
- 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

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:

- Planning
- Operational Activities
- Equipment
- Training
- Exercises

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

Planning

FY 2012 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 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 2012 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 and demonstrate how the agency will sustain the operational investments and capabilities 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 Program 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's 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.

Funding Availability for OPacks. OPacks will be funded for a 24 month period. The monetary figures presented below are stated in terms of cost per period of performance (which indicates actual/complete funding for the 24 month period). Additionally, any OPack costs after the 24 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 (24 months)
1.	EDCT	\$150,000 per team	\$300,000 per team
2.	ATT	\$500,000 per team	\$1,000,000 per team
3.	Mobile Explosive Screening Team	\$600,000 per team	\$1,200,000 per team

OPack Requirements

IPR Program OPack funds may be used for new positions and/or to sustain existing capabilities/programs (e.g., canine teams) already supported by the grantee. However, non-supplanting restrictions apply.

Table 2: OPack Requirements

OPacks	Requirements
EDCT	Please refer to the following page for detailed information regarding EDCTs under the IPR Program.
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 ¹	Equipment Costs	Purchase and Train a Canine	Canine Costs ²
1.	EDCT	✓	✓	✓	✓ ³	✓
2.	ATT	✓	✓	✓	✓	✓
3.	Mobile Explosives Screening Team	✓		✓ ⁴		

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 Program funds can be used to establish dedicated Amtrak security/police EDCTs. Funds for these canine teams may not be

¹ Travel costs associated with training for personnel, handlers, and canines are allowable

² Canine costs include but are not limited to: veterinary, housing, and feeding costs

³ Training specific to the detection of common explosives odors is allowable

⁴ 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

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 EDCTs 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 Program-funded EDCTs are not available, other EDCTs (non-IPR Program 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 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 the Bureau of Alcohol, Tobacco, Firearms and Explosives's Publication 5400.7 (ATF P 5400.7) (09/00), *Federal Explosive Law and Regulation*.

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.

FY 2012 grant funds are intended to support the NPG and fund projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide the grantee the ability to meet this objective, the policy set forth in GPD's IB 336 (Maintenance and Sustainment) expands the allowability for the support of equipment that has previously been purchased with both Federal grant and non-Federal grant funding. The eligible costs for maintenance and sustainment however needs to be an otherwise allowable expenditure under the applicable grant programs, and be tied to one of the core capabilities in the five mission areas contained within the NPG.

Equipment

FY 2012 IPR Program 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 (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 International Organization for Standardization/International Electrotechnical Commission (ISO/IEC) 17050, Parts One and Two. 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 2012 IPR Program 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. The grantee is 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. Reimbursement of these costs should follow the policies of the State or local unit(s) of government or the 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. 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. Reimbursement of these costs should follow the policies of the State or local unit(s) of government 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., gloves, 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.** Includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the After Action Report/Improvement Plan (AAR/IP) and addressed in the training cycle.
- **Certification/Recertification of Instructors.** The grantee is 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 2012 IPR Program funds may be used for the following exercise activities:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise.** This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. The grantee is encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any exercise or exercise gaps, including those for children and individuals with disabilities or access and

functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.

- **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., gloves, 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. The grantee is encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. This may also include costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with disabilities.

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 Program
- Other items not in accordance with the AEL or previously listed as allowable cost

Appendix C - FY 2012 IPR Program Investment Justification Template

Investment Justification Template: As part of the FY 2012 IPR Program application process, the applicant must develop a formal IJ that addresses each initiative being proposed for funding, including M&A costs. The applicant may submit up to 15 IJs. Each IJ must demonstrate how a proposed project addresses gaps and deficiencies in current programs and capabilities and link to one or more capabilities identified in the NPG. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by DHS. The applicant must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

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"> • POC's 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 summarize how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols); • Describe how the investment builds or sustains one of more NPG core capabilities; • 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 2012 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 2012 IPR Program funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY 2012 IPR Program 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 2012 IPR Program 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. <u>Up to 10 milestones may be provided.</u>	
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 2012 IPR Program funds and will be completed over the 24-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 their IJs as part of the FY 2012 IPR Program:

Name of Applicant_ IJ Number (Example: Amtrak_IJ_1)

Appendix D - Sample Budget Detail Worksheet

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 three-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 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 (eight-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 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 ⁵
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 2012 IPR Program:

State_Regions_IJ Number_Budget (Example: Amtrak_IJ 1_Budget)

⁵ FY 2012 IPR does not require matching funds; this section should be left blank for all FY 2012 IPR applications

Appendix E - 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 align with one or more core capabilities in the NPG?
- 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?