

**U.S. DEPARTMENT OF HOMELAND SECURITY  
FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)  
FY 2014 INTERCITY PASSENGER RAIL (IPR) - AMTRAK**

**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

**Program Title**

Intercity Passenger Rail (IPR) - Amtrak

**Authorizing Authority for Program**

Section 1513 of *the Implementing Recommendations of the 9/11 Commission Act of 2007*, (Pub. L. No. 110-53) (6 U.S.C. § 1163).

**Appropriation Authority for Program**

*The Department of Homeland Security Appropriations Act, 2014* (Pub. L. No. 113-76).

**FOA Number**

DHS-14-GPD-075-000-01

**Key Dates and Time**

Application Start Date:	03/18/2014
Application Submission Deadline Date:	05/23/2014 at 11:59:59 p.m. EDT
Anticipated Funding Selection Date:	07/25/2014
Anticipated Award Date:	No later than 09/30/2014

**Other Key Dates**

Period of Performance Start Date:	09/01/2014
Period of Performance End Date:	08/31/2016

**Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their State's Single Point of Contact (SPOC) to comply with the State's process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are

maintained at the Office of Management and Budget's home page at [http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc) to ensure currency.

## FOA EXECUTIVE SUMMARY

The FY 2014 IPR Program plays an important role in the implementation of National Preparedness System 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 (the Goal). 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 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 IPR Program include building and sustaining emergency management capabilities through operational activities, operational packages (OPacks), Top Transit Asset List (TTAL) remediation; protection of high risk/high consequence underwater and underground rail assets; planning; use of visible, unpredictable deterrence; emergency preparedness drills and exercises; public awareness and preparedness campaigns; and protection of other high risk, high consequences areas or systems that have been identified through system wide risk assessments.

### **Funding Category**

Continuing

### **Date of origin for Program**

01/04/2007

### **Type of Funding Instrument**

Cooperative Agreement

Program authority and responsibility under this Cooperative Agreement reside with FEMA. FEMA retains the right to terminate all or part of the Cooperative Agreement as permitted by 2 C.F.R. § 215.61 and may conduct site visits and monitoring throughout the period of performance.

FEMA will work with the recipient to develop and refine the details of executing this award, for example, including work plans, goals and objectives, timelines, deliverables and effectiveness measures, selection of key players, development of any outreach or educational materials, coordination of multi state efforts, as well as defining eligible and ineligible tasks to ensure that the program is effectively implemented. The recipient shall not develop or engage in the development of tasks not approved in the recipients' application without prior approval and the issuance of an amendment to the award by FEMA.

### ***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 interfacing. For the FY 2014 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. TSA assists by coordinating the 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 Railroad Administration (FRA), determine the primary security architecture of the IPR Program.

FEMA and TSA provide substantial Federal involvement with the following activities:

- Review discussion and approval of Investment Justifications (IJs) prior to submitting the formal application.
- Retain the authority to halt a recipient's funded activity immediately if the recipient does not meet all conditions as listed in the award.
- Review of Amtrak's project management plans and decisions.
- Requires Amtrak to maintain close collaboration with federal program staff for the purpose of controlling all aspects of the Amtrak's performance of grant program activities.
- Quarterly review of Amtrak's progress towards resolution of identified project issues.

### **Application Process**

DHS makes all funding opportunities available through the common electronic "storefront" grants.gov, accessible on the internet at <http://www.grants.gov>. For details on how to apply through grants.gov please read Section IX, *How to Apply*.

### **Eligible Applicants**

The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under the FY 2014 Intercity Passenger Rail Program.

# FULL FOA

## I. Funding Opportunity Description

### A. Program Summary

The Intercity Rail Program (IPR) provides funds to the National Passenger Railroad Corporation (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.

### B. Program Priorities

The FY 2014 IPR Program plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (the Goal) of a secure and resilient Nation. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The FY 2014 IPR's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas. For more information please reference Appendix A - FY2014 IPR Program Priorities.

### C. Program Objectives

FY 2014 IPR Program objectives include building and sustaining core capabilities through:

- Strengthening governance integration
- 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 2014 IPR Program, refer to [Appendix A – FY 2014 IPR Program Priorities](#).

## II. Funding Information

### A. Available Funding for the FOA

\$10,000,000

### B. Period of Performance

Twenty-four (24) months

### C. Extensions to the Period of Performance

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. Agencies should request extensions sparingly and expect extensions to be granted only

under exceptional circumstances. For additional information on the period of performance extensions, refer to Information Bulletin (IB) 379 located at <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>.

### **III. Eligibility Information**

**Amtrak is the only entity eligible to apply for funding under the FY 2014 IPR Program.**

Amtrak is encouraged to fully integrate and coordinate with regional transit entities as it develops and implements security enhancements.

#### **A. Eligibility Criteria**

##### **i. Cost Match**

Cost match is not required under this program

##### **ii. Maintenance of Effort**

Maintenance of effort is not required under this program.

##### **iii. Pass through funding**

Pass through funding is not required under this program.

##### **iv. Other Eligibility Requirements**

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

Prior to allocation of any Federal preparedness awards in FY 2014, Amtrak must ensure and maintain adoption and implementation of NIMS. Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of standardized resource management concepts such as typing, inventorying, and cataloging, promote strong national mutual aid capabilities that are needed to support the delivery of core capabilities. Additional information on resource management and national Tier I NIMS Resource Types can be found at <http://www.fema.gov/resource-management>.

### **IV. Funding Restrictions**

#### **A. Restrictions on Use of Award Funds**

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any 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. For more information, please reference Appendix B – Funding Guidelines.

##### **i. Pre-award Costs**

Pre-award costs are allowable only with the prior written consent of DHS and if they are included in the award agreement. To request pre-award costs a written request must be included with the application, signed by Amtrak's Authorized Representative. The letter

must outline what the pre-award costs are for, including a detailed budget break-out of pre-award costs from the post-award costs, and a justification for approval.

## **ii. Direct Costs**

### ***Management and Administration***

Management and Administration costs are allowed under this program. Management and administration are costs for activities directly related to the management and administration of the award. Amtrak may use up to 5% of the amount of the award for their M&A.

### ***Planning***

Planning related costs are allowed under this program.

### ***Organization***

Organization related costs are allowed under this program

### ***Equipment***

Equipment costs are allowed under this program.

### ***Training***

Training related costs are allowed under this program. Amtrak must commit to minimum training standards to be set by DHS for all Federally funded security positions.

### ***Exercises***

Exercise related costs are allowed under this program.

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

Amtrak 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.

### ***Travel***

Domestic travel costs are allowed under this program as described in this FOA. International travel is NOT an allowable cost under this program unless approved in advance by the Federal Emergency Management Agency (FEMA).

### ***Construction and Renovation***

Construction and renovation costs are allowed under this program. Amtrak must obtain prior written approval from FEMA before using any IPR program funds for construction or renovation. Additionally, Amtrak is required to submit a SF-424C Budget and Budget detail citing the project costs.

Amtrak must submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Amtrak is also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for

funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which Amtrak believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. §§ 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six months of the award and completed EHP review materials 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](mailto:gpdehpinfo@fema.gov).

If Amtrak uses funds for construction projects must comply with the Davis-Bacon Act (40 U.S.C. § 3141 et seq.) as required by 6 U.S.C. § 1163(h). Amtrak 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 (DOL) wage determinations, is available from the following website <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

#### ***Operational Overtime***

Operational Overtime costs are allowed under this program.

#### ***Maintenance and Sustainment***

Maintenance and Sustainment related costs, such as maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA Policy FP 205-402-125-1.

### **iii. Indirect Costs**

Indirect costs are allowable under this program, but only if the applicant has an approved indirect cost rate agreement with their cognizant Federal agency. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant federal agency) is required at the time of application.

### **iv. Other Cost Requirements**

#### ***Environmental Planning and Historic Preservation (EHP) Compliance***

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. If proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, Amtrak must participate in the FEMA EHP review process as outlined in the consolidated EHP FEMA Policy. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project

has the potential to impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project.

***SAFECOM Guidance for Emergency Communications Grants Compliance***

Grantees (including sub-recipients) who receive awards under the IPR that wholly or partially provide funding for emergency communication projects and related activities should comply with the most recent version of the *SAFECOM Guidance on Emergency Communications Grants*

<http://www.safecomprogram.gov/grant/Default.aspx>. This Guidance provides recommendations to Amtrak regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The Guidance is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. If Amtrak invests in broadband-related investments Amtrak should review IB 386: Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments ([http://www.fema.gov/media-library-data/20130726-1837-25045-1238/ib\\_386.pdf](http://www.fema.gov/media-library-data/20130726-1837-25045-1238/ib_386.pdf)), and consult their FEMA Headquarters Program Analyst on such Investments before developing applications.

## V. Application Review and Selection Process

### A. Application Review Information

Amtrak is the only entity eligible to submit an application for the IPR Program. Amtrak must comply with all administrative requirements described herein — including the submission of IJs, budgets, and other application materials as required.

Investment justifications will be reviewed and selected based on the following criteria:

- 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 2014 IPR Program FOA.
- 2. Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk associated with potential terrorist attacks and all other types of hazards.
- 3. 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
- 4. Timelines.** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes

## VI. Federal Award Administration Information

## **A. Notice of Award**

Notification of award approval is made through the ND Grants system through an automatic e-mail to the awardee point of contact (the “authorized official”) listed in the initial application. The date the approval of award is the “award date.” The awardee should follow the directions in the notification to accept the award.

Amtrak must accept their award no later than 90 days from the award date. Amtrak 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 Amtrak accepts the award through ND Grants System and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the award within the 90 day timeframe may result in a loss of funds.

## **B. Administrative and Federal Financial Requirements**

Before accepting the award the authorized official should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal awards. Amtrak must accept all conditions in this FOA as well as any Special Terms and Conditions in the Award notice to receive an award under this program.

### **i. Standard Terms and Conditions**

All successful applicants for all DHS grant and cooperative agreements must comply with DHS Standard Administrative Terms and Conditions available at:  
<https://www.dhs.gov/publication/fy14-dhs-standard-terms-and-conditions>.

### **ii. Payment**

Funds are transferred to the Department of Transportation for disbursement as required by Section 1513 of *the Implementing Recommendations of the 9/11 Commission Act of 2007*, (Pub. L. No. 110-53) (6 U.S.C. § 1163).

## **C. Reporting Requirements**

Awardees are required to submit various financial and programmatic reports as a condition of their award acceptance. Future awards and fund drawdowns may be withheld if these reports are delinquent.

### **i. Financial and Compliance Audit Report:**

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of GAO’s Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>.

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO’s Government Auditing Standards,

located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at [http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2012](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012). Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year.

**ii. Financial Reporting Periods and Due Dates**

The following reporting periods and due dates apply:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

**iii. Federal Financial Report (FFR).**

Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425) and must be filed. The form is available at [http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf). An FFR report must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

**iv. Program Reporting Periods and Due Dates**

The following reporting periods and due dates apply:

Reporting Period	Report Due Date
January 1 – June 30	July 30
July 1 – December 31	January 30

**v. Program Performance Reporting Requirements**

***Performance Progress Reports (SF-PPR)***

Amtrak is responsible for providing updated program performance reports using the SF-PPR (OMB Control Number: 0970-0334) on a quarterly semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period. Amtrak must submit the cover page of the SF-PPR as an attachment to the ND Grants system. The SF-PPR can be accessed online at [http://www.na.fs.fed.us/fap/SF-PPR\\_Cover%20Sheet.pdf](http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf).

**vi. Exercise Evaluation and Improvement.**

Exercises implemented with grant funds should evaluate the performance of capability against the level of capabilities required. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program (HSEEP) located at <https://hseep.dhs.gov>.

#### **D. Monitoring**

Grant Award recipients will be monitored programmatically and financially on an annual and as needed basis by FEMA staff to ensure that the activities and 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.

#### **E. Closeout**

Pursuant to 44 C.F.R. §13.50 (b) Reports: Within 90 days after the expiration or termination of the grant, Amtrak must submit all financial, performance, and other reports required as a condition of the grant.

Within 90 days after the end of the period of performance Amtrak must submit the following:

- 1) Final request for payment, if applicable;
- 2) SF-425 –Final Federal Financial Report;
- 3) SF-PPR – Final Performance Progress Report;
- 4) A qualitative narrative summary on the impact of those accomplishments throughout the entire period of performance submitted to the respective Regional Program Analyst in a Word document;
- 5) SF-428 – Tangible Personal Property Report – Inventory of all tangible personal property acquired using funds from this award. The form is available at [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/sf-428.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-428.pdf);
- 6) When applicable, SF-429 – Real Property Status Report – Inventory of all construction projects using funds from this award. The form is available at [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/sf-429.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf); and
- 7) Other documents required by program guidance or terms and conditions of the award.

In order to close an award, Amtrak must be current on, and have submitted, all required reports per the terms and conditions of the grant award. Once the grant has officially been closed, Amtrak will receive a Grant Adjustment Notice (GAN) which will provide information regarding the amount of any deobligated funds, equipment disposition, and record retention requirements for closed awards.

If FEMA has made reasonable attempts through multiple contacts to close out awards within the required 180 days, FEMA may waive the requirement for a particular report and administratively close the award. If this action is taken, consideration for subsequent awards to Amtrak may be impacted or restricted.

Amtrak is responsible for returning any funds that have been drawn down, but remain as unliquidated on Amtrak's financial records.

## **F. Extensions**

Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to Amtrak's GPD Program Analyst and must contain specific and compelling justifications as to why an extension is required. Amtrak is advised to coordinate with the GPD Program Analyst as needed, when preparing an extension. All extension requests must address the following:

1. Grant Program, Fiscal Year, and award number;
2. Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
3. Current status of the activity/activities;
4. Approved period of performance termination date and new project completion date;
5. Amount of funds drawn down to date;
6. Remaining available funds, both Federal and non-Federal;
7. Budget outlining how remaining Federal and non-Federal funds will be expended;
8. Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
9. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Awardees must submit all proposed extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance. In accordance with GPD policy, extensions are typically granted for no more than a six month time period. For more details please review Information Bulletin No. 379 at <http://www.fema.gov/pdf/government/grant/bulletins/info379.pdf>.

## **VII. DHS FEMA Contact Information**

### **A. For Financial, Programmatic, or Administrative Questions Pre-Award and Post Award**

#### **i. Centralized Scheduling and Information Desk (CSID)**

The Centralized Services Information Desk (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, Amtrak 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](mailto:askcsid@dhs.gov), Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

#### **ii. GPD Grant Operations Division**

GPD's Grant Operations Division Business Office provides financial support and technical assistance. Grant Operations manages, administers, and conducts

application budget review, creates the award package, approves, amends and closes out awards. 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](mailto:ASK-GMD@dhs.gov).

**iii. FEMA Regions**

FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance such as conducting cash analysis, financial monitoring, and audit resolution to the grant programs included in this solicitation. GPD will provide programmatic support and technical assistance. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.

**iv. Systems Information**

***Grants.gov***

For technical assistance with [Grants.gov](http://www.Grants.gov), please call the Grants.gov customer support hotline at (800) 518-4726.

***ND Grants***

For technical assistance with the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076.

**v. GPD Environmental Planning and Historic Preservation (GPD-EHP)**

The FEMA GPD-EHP Team provides guidance and information about the EHP review process to grantees and sub-grantees. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov). EHP Policy Guidance can be found at <http://www.fema.gov/media-library/assets/documents/85376>

**vi. Telephone Device for the Deaf (TDD)**

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

**vii. Hard copies of the FOA**

Hard copies of the FOA are not available.

**VIII. Other Critical Information**

***National Preparedness***

DHS coordinates with local, State, territory, Tribal, and Federal governments as well as the private and nonprofit sectors to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. The FY 2014 IPR plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks in the National Planning Frameworks for each of the five mission areas outlined in the Goal. Information on the National Preparedness System can be found in the National Preparedness System Description (released Nov 2011), which is posted on the FEMA website at <http://www.fema.gov/national-preparedness/national-preparedness->

[system](#). Additional details regarding the National Preparedness System and how it's supported by the IPR can be found in Appendix B – IPR Funding Guidelines.

## IX. How to Apply

### A. Application Overview

Applying for an award under this program is a multi-step process and requires time to complete. To ensure that an application is submitted on time applicants are advised to start the required steps well in advance of their submission. **Applicants should allow at least 15 business days (three weeks) to complete the five steps of applying listed below.** Failure of an applicant to comply with any of the required steps before the deadline for submitting their application will automatically disqualify their application from funding.

The steps involved in applying for an award under this program are:

1. Applying for, updating or verifying their Data Universal Numbering System (DUNS) Number
2. Applying for, updating or verifying their Employer Identification Number (EIN) Number
3. Updating or verifying their System for Award Management (SAM) Registration
4. Submitting an initial application in grants.gov, and
5. Submitting the complete application in FEMA's ND Grants system.

**To ensure adequate time to complete the full application process, applicants are encouraged to submit their initial application in Grants.gov (Step 4) at least ten (10) days before the May 23, 2014 application deadline.**

#### 1. Obtain a 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 for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one. Applicants can receive a DUNS number at no cost by calling DUNS number request line at (866) 705-5711. FEMA cannot assist applicants with questions related to obtaining a current DUNS number.

#### 2. Obtain an Employer Identification Number (EIN).

FEMA requires both the EIN and a DUNS number prior to the issuance of a funding award and for grant award payment; both are also required to register with SAM (see below). The EIN base for an organization is the IRS Tax ID number, for individuals it is their social security number, both of which are nine-digit numbers. Organizations and individuals submitting their applications must correctly identify the EIN from the DUNS since both are 9-digit numbers. If these numbers are not correctly identified in the application, this may result in a delay in the issuance of the funding award and/or incorrect payment to Amtrak.

Organization applicants applying for an EIN should plan on a minimum of 2 full weeks to obtain an EIN. If you need assistance registering an EIN, please go to [http://www.irs.gov/Businesses/Small-Businesses-&Self-Employed/Apply-for-an-Employer-Identification-Number-\(EIN\)-Online](http://www.irs.gov/Businesses/Small-Businesses-&Self-Employed/Apply-for-an-Employer-Identification-Number-(EIN)-Online). FEMA cannot assist applicants with questions related to obtaining a current EIN.

**3. Register with the System for Award Management (SAM).**

Payments are contingent on the information provided in SAM and must be completed by the applicant at <http://www.sam.gov>. It is imperative that the information provided by the applicant is correct and current. Please ensure that your organization's name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all other FEMA awards. SAM registration is a multi-step process including validating your EIN with the Internal Revenue Service (IRS) to obtain a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application. If you need assistance registering with SAM, please go to <https://www.fsd.gov> or call 866-606-8220. FEMA cannot assist applicants with questions related to obtaining a current CAGE code.

**4. Initial Application Submission in Grants.gov.**

All applicants submit their initial application through Grants.gov. Applicants may need to first create a Grants.gov user profile by visiting the Get Registered section of the grants.gov website. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Applicants should complete this step at <http://www.grants.gov>. The initial on-line application in grants.gov requires completing:

- Standard Form 424 (SF424), Application for Federal Assistance and
- Grants.gov Certification Regarding Lobbying Form.

Both forms are available in the Forms tab under SF-424 Family. The initial application cannot be started or submitted in Grants.gov unless the applicants' registration in SAM is confirmed.

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 or the FOA Number noted in this FOA, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in grants.gov will be retrieved by ND Grants, which will allow FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application in grants.gov at least ten days before the May 23, 2014 application deadline.**

If you need assistance applying through grants.gov, please go to <http://www.grants.gov/web/grants/applicants/grant-application-process.html>, contact [support@grants.gov](mailto:support@grants.gov), or call 800-518-4726. FEMA cannot assist applicants with questions related to registering with grants.gov.

**5. Final Application Submission in Non Disaster Grants System (ND Grants).**

Eligible applicants will be notified by FEMA and asked to proceed with submitting their complete application package in ND Grants located <https://portal.fema.gov>. Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their application.

In ND Grants applicants will be prompted to submit all of the information contained in the following forms:

- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-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); and
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying.

In addition applicants must submit copies of the following in ND Grants:

- Investment Justification;
- Program and Budget Narrative;
- Memorandum of Understanding;
- Standard Form 424C, Budget Information (Construction), if applying for funds to support construction projects; and
- Indirect Cost Agreement.

Applicants will also be prompted to assure compliance with all Standard and Special Terms and Conditions before being eligible to receive an award under this program.

If you need assistance registering for the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076.

**B. Application Instructions in ND Grants**

**i. Investment Justification (IJ)**

As part of the FY 2014 IPR application process, Amtrak must develop a formal IJ that addresses each initiative being proposed for funding, including a project's M&A costs. Amtrak may submit up to fifteen IJs. The IJ must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities and link to one or more core capabilities identified in the Goal. Applicants are strongly encouraged to submit a separate IJ for each proposed project. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

Applicants will find an IJ Template in [Appendix C –IPR Investment Justification Template](#). This worksheet may be used as a guide to assist applicants in the preparation of the IJ.

The applicant will submit their IPR grant application, the associated IJs to include Detailed Budgets and associated MOUs/MOAs as a file attachment within <https://portal.fema.gov> prior to the application deadline date and time.

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 2014 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 2014 IPR Program Investment Justification Template](#). This worksheet may be used as a guide to assist applicants in the preparation of the IJ.

## **ii. 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 2014 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.

## **iii. 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.

**C. 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 DHS to protect transportation security related information. 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. Further information is located in at 49 C.F.R. § 1520.7.

For the purposes of the IPR Program, all IJs shall be considered SSI and treated as such. This requires that Amtrak 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](mailto:askcsid@dhs.gov). For further information, please contact CSID at (800) 368-6498, Monday through Friday, 8:00 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 information

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

**D. Environmental and Historic Preservation Review**

Written approval must be provided by FEMA prior to the use of any IPR funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, Amtrak must submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of Federal interest. Additionally, Amtrak is required to submit a SF-424C Budget and Budget detail citing the project costs.

When applying for funds to construct communication towers, Amtrak must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Amtrak is also encouraged to have completed as many steps as possible for a

successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects; compliance with all state and EHP laws and requirements). Projects for which Amtrak believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. §§ 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six months of the award. Completed EHP review materials for construction and communication tower projects must be submitted no later than 12 months before the end of the period of performance. EHP review materials should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov).

When applying for construction funds, including for the construction of communications towers, at the time of application, Amtrak is highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed all required steps for a successful EHP review in support of their proposal for funding (e.g., coordination consultation).

## Appendix A – FY 2014 IPR Program Priorities

### **Alignment of IPR to the National Preparedness System**

The National Preparedness System is the instrument the Nation will employ to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal). Core capabilities are essential for the execution of critical tasks for each of the five mission areas (Prevention, Protection, Mitigation, Response, and Recovery) outlined in the Goal). The objective of the National Preparedness System is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

The FY 2014 IPR Program plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The IPR Program supports efforts to build and sustain core capabilities across the five mission areas.

### **Building and Sustaining Core Capabilities**

Using the core capabilities, the FY 2014 IPR supports the achievement of the Goal by:

- Preventing a threatened or an actual act of terrorism.
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards.
- 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 Goal are highly interdependent and require us to use existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the appropriate administrative, finance, and logistics systems are in place.

To support building, sustaining, and delivering these core capabilities Amtrak will use the components of the National Preparedness System, which are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating.

For more information on each component, read the National Preparedness System Description available at <http://www.fema.gov/national-preparedness/national-preparedness-system>.

## **Strengthening Governance Integration**

The IPR program supports the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery that are necessary to prepare for incidents that pose the greatest risk to the Nation's security. Each program reflects the Department's intent to build and sustain an integrated network of national capabilities across all levels of government and the whole community. Disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

DHS requires that all governance processes that guide the allocation of preparedness grant funds adhere to the following guiding principles:

- *Coordination of Investments* – resources must be allocated to address the most critical capability needs.
- *Transparency* – stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.
- *Substantive Local Involvement* – the tools and processes that are used to inform the critical priorities which DHS grants support must include local government representatives. At the state and regional level, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- *Flexibility with Accountability* – recognition of unique preparedness gaps at the local level, as well as maintaining and sustaining existing capabilities.
- *Support of Regional Coordination* – recognition of inter/intra-state partnerships and dependencies at the state and regional level, and within metropolitan areas.

## **Sustaining IPR Program Capabilities**

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

**The Department has identified the following project types for the FY 2014 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 2014 IPR Program to support measures that protect assets on the Top Transit Asset List (TTAL), 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, mitigate, 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), 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. For example, effective awareness programs such as the "See Something, Say Something<sup>TM</sup>," public awareness campaign enlist the public and explain specific actions the public can take to report suspicious behavior and activities.

### ***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 Subsection (b) of Section 1513 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* will be considered.(6 U.S.C. § 1163(b)).

The permitted uses of FY 2014 IPR Program funds include the following activities:

- Security and redundancy for critical communications, computer, and train control systems essential for secure railroad operations
- Accommodation of railroad cargo or passenger security inspection facilities, related to infrastructure, and operations at or near United States international borders or other points of entry
- Security of security-sensitive materials transportation by railroad
- CBRNE detection measures, including canine patrols for such detection
- Security of intercity passenger railroad stations, trains, and infrastructure, including security capital improvement projects that the Secretary of Homeland Security determines enhance railroad station security
- Technologies to reduce the vulnerabilities of railroad cars, including structural modification of railroad cars transporting security-sensitive materials to improve their resistance to acts of terrorism
- Sharing of intelligence and information about security threats
- Obtaining train tracking and communications equipment, including equipment that is interoperable with Federal, State, and local agencies and tribal governments
- Hiring, training and employing police and security officers, including canine units, assigned to full-time security or counterterrorism duties related to railroad transportation
- Overtime reimbursement, including reimbursement of State, local, and tribal governments for costs, for enhanced security personnel assigned to duties related to railroad security during periods of high or severe threat levels and National Special Security Events (NSSEs) or other periods of heightened security as determined by the Secretary of Homeland Security
- Perimeter protection systems, including access control, installation of improved lighting, fencing, and barricades at railroad facilities
- Tunnel protection systems
- Passenger evacuation and evacuation-related capital improvements
- Railroad security inspection technologies, including verified visual inspection technologies using hand-held readers
- Surveillance equipment
- Cargo or passenger screening equipment
- Emergency response equipment, including fire suppression and decontamination equipment, personal protective equipment, and defibrillators

- Operating and capital costs associated with security awareness, preparedness, and response training, including training under the Railroad Security Training Program authorized by Section 1517 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007*, (6 U.S.C. § 1167), and training developed by universities, institutions of higher education, and nonprofit employee labor organizations, for railroad employees, including frontline employees
- Live or simulated exercises, including Railroad Carrier Exercises described in Section 1516 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1167).
- Public awareness campaigns for enhanced railroad security, such as the “See Something, Say Something<sup>TM</sup>” campaign
- Development of Railroad Carrier Assessments and Plans under Section 1512 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1162).
- Other security improvements that: (a) are identified, required or recommended under Sections 1511 and 1512 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007*, (6 U.S.C. §§ 1161 and 1162) including infrastructure, facilities, and equipment upgrades; or (b) that the Secretary of Homeland Security considers appropriate.

## 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.

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 2014 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 2014 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
- Travel expenses, only if relating to and necessary for the management and administration of the grant

**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 2014 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**

Operational Packages (OPacks) have been developed to support operational activities and are available for funding to Amtrak. OPacks are effective tactics for supporting the FY 2014 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 (EDCTs).** 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. 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 (ATTs).** The ATTs capability provided through the OPack program will offer IPR Program funding for dedicated transit ATTs capability on a regular basis, rather than using teams for the surge capacity provided by DHS in the past. The ATTs 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, and all IPR funding, 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 requested to be applied for in future grant cycles to maintain this operational capability, but it is not guaranteed and requires approval. If these positions are not sustained, Amtrak 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 Amtrak.

**Table 2: OPack Requirements**

OPacks	Requirements
EDCT	Please refer to the following page for detailed information regarding EDCTs under the IPR Program.
ATT	Specific for the Canine Team within the ATT: <ul style="list-style-type: none"> <li>• Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization</li> <li>• Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification. 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</li> <li>• The individuals hired for the covert and overt elements must be properly trained law enforcement officers</li> <li>• Certifications should be on file with Amtrak and must be made available to DHS upon request</li> </ul>
Mobile Explosives Screening Team	Certifications should be on file with Amtrak 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 <sup>1</sup>	Equipment Costs	Purchase and Train a Canine	Canine Costs <sup>2</sup>
1.	EDCT	✓	✓	✓	✓ <sup>3</sup>	✓
2.	ATT	✓	✓	✓	✓	✓
3.	Mobile Explosives Screening Team	✓		✓ <sup>4</sup>		

**Specific Guidance for Explosives 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. 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 used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.

**EDCT Certification**

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 forth 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. Amtrak 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.

**EDCT Submission Requirements**

Amtrak will ensure that a written plan or standard operating policy and procedure 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 standard operating policy and procedure. The plan must be made available to DHS upon request.

<sup>1</sup> Travel costs associated with training for personnel, handlers, and canines are allowable

<sup>2</sup> Canine costs include but are not limited to: veterinary, housing, and feeding costs

<sup>3</sup> Training specific to the detection of common explosives odors is allowable

<sup>4</sup> Equipment and other costs can include but are not limited to: explosives detection; stainless steel search tables; consumables such as gloves, swabs, and alcohol; and land mobile radios

Amtrak will ensure that a written security procedure plan exists for the safekeeping of all explosive training aids, to include safe transportation. Amtrak 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.

Amtrak 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' Publication 5400.7 (ATF P 5400.7) (09/00), *Federal Explosive Law and Regulation*.

Amtrak 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.

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.

Amtrak 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.

Amtrak 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. Amtrak 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. Amtrak agrees that EDCTs will be utilized at 100 percent (100%) of their duty time, at Amtrak.

Amtrak 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. Amtrak 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.

Amtrak 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.

## **Equipment**

FY 2014 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.llis.dhs.gov/knowledgebase>. 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: <https://www.llis.dhs.gov/knowledgebase>.  
DHS adopted standards are found at: <http://www.dhs.gov/dhs-implementation-statement-regarding-standard-terms-and-conditions-research-grants>.

## **Maintenance and Sustainment**

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable, as described in FEMA Policy FP 205-402-125-1 (Additional guidance is provided in FEMA Policy FP 205-402-125-1, *Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants*, located at: <http://www.fema.gov/media-library/assets/documents/32474>), under all active and future grant awards, unless otherwise noted.

FY 2014 grant funds are intended to support the Goal and fund projects that build and sustain the core 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 Amtrak the ability to meet this objective, the policy set forth in GPD's IB

379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) 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 outlined in the Goal.

### **Training**

FY 2014 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. Amtrak 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 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 applicable FEMA policies. In no case is dual compensation allowable.
- **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).
- **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.
- **Additional Information.** For additional information on training course review and approval requirements please refer to FEMA Grant Programs Directorate Policy FP 207-008-064-1, Review and Approval Requirements for Training Courses Funded Through Preparedness Grants, issued on September 9, 2013. The Policy can be accessed at <http://www.fema.gov/media-library/assets/documents/34856>.

## Exercises

FY 2014 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. Amtrak 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 must follow all applicable procurement regulations at 44 C.F.R. § 13.36 or 2 C.F.R. §§ 215.40 – 215.48. 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 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. Amtrak 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 general use items whose purpose is unrelated to activities allocable to the grant. Such items would include general-use software, 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) or otherwise allowed by statute.
- Activities unrelated to the completion and implementation of the IPR Program
- Other items not in accordance with the Authorized Equipment List (AEL) or otherwise listed as an allowable cost
- Costs related to any matching or cost share requirement for any other Federal award
- Costs related to lobbying or intervention in Federal regulatory or adjudicatory proceedings
- Costs related to suing the Federal Government or any other government entity
- Pre-award costs, unless approved in writing by DHS and included in the grant award
- Costs that are not consistent with the Cost Principles located at 2 C.F.R. Parts 220, 225, or 230 or 48 C.F.R. Part 31, as applicable.

### **Additional Considerations**

#### ***Enhancing Cybersecurity Capabilities***

Applicants are encouraged to propose projects to aid in implementation of all or part of the National Institute of Standards and Technology (NIST) Cyber Security Framework when requesting funds for cybersecurity. The CSF is available at

<http://www.nist.gov/cyberframework/upload/cybersecurity-framework-021214-final.pdf>.

The Framework gathers existing global standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that don't know where to start, the Framework provides a road map. For organizations with more advanced cybersecurity, the Framework offers a way to better communicate with their leadership and with suppliers about management of cyber risks.

The Department of Homeland Security's Critical Infrastructure Cyber Community C<sup>3</sup> Voluntary Program also provides resources to critical infrastructure owners and operators to assist in adoption of the Framework and managing cyber risks. For more information visit

<http://www.us-cert.gov/ccubedvp>

## Appendix C - FY 2014 IPR Program Investment Justification Template

**Investment Justification Template:** As part of the FY 2014 IPR Program application process, the applicant must develop a formal IJ that addresses each initiative being proposed for funding, including M&A costs. Amtrak 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 Goal. 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"> <li>POC's name and title;</li> <li>POC's full mailing address;</li> <li>POC's telephone number;</li> <li>POC's fax number;</li> <li>POC's email address; and</li> <li>Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.</li> </ul>
Response	

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

## II. Strategic and Program Priorities

<b>II.A. Provide an abstract for this investment.</b>	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Describe what the project is, how it will be executed, and its purpose;</li> <li>• 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);</li> <li>• Describe how the investment builds or sustains one or more of the Goal core capabilities;</li> <li>• Describe the specific needs and/or resource limitations that need to be addressed;</li> <li>• Identify any potential partners and their roles and staffing requirements, and provide information on any existing agreements such as Memoranda of Understanding (MOU);</li> <li>• Identify specific equipment needs (e.g., number of facility cameras, number of security lights, amount of security fencing, etc.) and other details for training, awareness, exercises, and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed materials, number of agencies and staff members involved in exercise planning, execution, and review);</li> <li>• Describe progress made on the security project this investment will be completing, if applicable; and</li> <li>• Reference use of prior year grant funds, if applicable.</li> </ul> <p><i>Note: Ensure that details on purchases within this section match what is outlined in the detailed budget.</i></p>
Response	

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

## III. Impact

<b>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</b>	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) in a cost effective manner by</li> </ul>

	<p>addressing the needs and priorities identified in earlier analysis and review;</p> <ul style="list-style-type: none"> <li>• Identify the nature of the risk and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event); and</li> <li>• 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.</li> </ul>
Response	

## IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <li>• Complete the chart below to identify the amount of funding Amtrak is requesting for <u>this investment only</u>;</li> <li>• Funds should be requested and detailed by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration);</li> <li>• Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and</li> <li>• Applicants must indicate whether additional funding (non-FY 2014 grants) will be leveraged for this investment.</li> </ul> <p><i>Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment.</i></p>
Response	

The following template illustrates how Amtrak should indicate the amount of FY 2014 IPR Program funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY 2014 IPR Program funds will be utilized:

	Federal Request Total	Other Funding Sources Applied	Grand Total
<i>Planning</i>			
<i>Equipment</i>			
<i>Training</i>			
<i>Exercises</i>			
<i>Operational Packages</i>			
<i>M&amp;A</i>			
<i>Total</i>			
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"> <li>• Give the expected total life-span for this investment if fully implemented and sustained through completion;</li> <li>• 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;</li> <li>• If no other funding resources have been identified, or if none are necessary,</li> </ul>		

	provide rationale as to why the requested FY 2014 IPR Program funding is sufficient for the implementation and sustainment of this investment; and <ul style="list-style-type: none"> <li>Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.</li> </ul>
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"> <li>Only include major milestones that are critical to the success of the investment;</li> <li>While up to 10 milestones may be provided, Amtrak should only list as many milestones as necessary;</li> <li>Milestones are for this discrete investment – those that are covered by the requested FY 2014 IPR Program funds and will be completed over the 24-month grant period;</li> <li>Milestones should be kept to high-level, major tasks that will need to occur;</li> <li>Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone;</li> <li>Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and</li> <li>List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).</li> </ul>
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 2014 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
		\$
<b>Total Personnel</b>		\$

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

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

**C. Travel.** Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 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
				\$
<b>Total Travel</b>				\$

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

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

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

**E. Supplies.** List items by type and show the basis for computation. (Note: Organization’s own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

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

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

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (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
			\$
		<b>Subtotal – Consultant Fees</b>	\$

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

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

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

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. Any sole source contracts must follow the requirements set forth in applicable state and local laws and regulations, as well as applicable federal regulations at 44 C.F.R. § 13.36 or 2 CFR §§ 215.40 - 215.48.

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

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

**G. Other Costs.** List items by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

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

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

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

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

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

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project. FY 2014 IPR does not require matching funds; the Non-Federal Amount should be left blank for all FY 2014 IPR applications.

Budget Category	Federal Amount
A. Personnel	\$
B. Fringe Benefits	\$
C. Travel	\$
D. Equipment	\$
E. Supplies	\$
F. Consultants/Contracts	\$
G. Other	\$
H. Indirect Costs	\$
<b>Total Requested Federal Amount</b>	
	\$
<b>Combined Total Project Costs</b>	
	\$

**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 2014 IPR Program:

State\_Region\_IJ Number\_Budget (Example: Amtrak\_IJ 1\_Budget)

## 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 [Appendix A – FY 2014 IPR Program Priorities](#))?
- Does the IJ align with one or more core capabilities in the Goal?
- 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?