

The Department of Homeland Security  
**Notice of Funding Opportunity**

**Fiscal Year 2015 Intercity Passenger Rail (IPR) - Amtrak**

**NOTE:** If you are going to apply for this funding opportunity and have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at:

<http://www.grants.gov/web/grants/applicants/applicant-resources.html>.

**A. Notice of Funding Opportunity (NOFO) Description**

**Issued By**

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

**Catalogue of Federal Domestic Assistance (CFDA) Number**

97.075

**CFDA Title**

Rail and Transit Security Grant Program

**Notice of Funding Opportunity Title**

Intercity Passenger Rail (IPR) - Amtrak

**NOFO Number**

DHS-15-GPD-075-000-01

**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**

*Department of Homeland Security Appropriations Act, 2015*, (Pub. L. No. 114-4)

**Program Type**

New

## **Program Overview, Objectives and Priorities**

### **Overview**

The FY 2015 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.

### **Objectives**

FY 2015 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

### **Priorities**

The FY 2015 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 consequence areas or systems that have been identified through system wide risk assessments.

For additional information on program priorities and objectives for FY 2015 IPR Program, refer to Appendix A – Program Priorities.

## **B. Federal Award Information**

### **Award Amounts, Important Dates, and Extensions**

**Available Funding for the FY 2015 IPR NOFO:** \$10,000,000

**Period of Performance:** Thirty-six (36) Months

Extensions to the period of performance are allowed. For additional information on period of performance extensions, refer to Section H of this NOFO, Additional Information (Extensions).

**Projected Period of Performance Start Date(s):** September, 1 2015

**Projected Period of Performance End Date(s):** August 31, 2018

**Funding Instrument**

Cooperative Agreement with the National  
Passenger Railroad Corporation (Amtrak)

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. § 200.339 and may conduct site visits and monitoring throughout the period of performance.

FEMA will work with Amtrak 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 multistate efforts, as well as defining eligible and ineligible tasks to ensure that the program is effectively implemented. Amtrak shall not develop or engage in the development of tasks not approved in the application without prior approval and the issuance of an amendment to the award by FEMA.

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

Effective management of the IPR Program entails a collaborative effort and partnership within DHS/FEMA, the dynamics of which require continuing outreach, coordination, and interfacing. For the FY 2015 IPR Program, FEMA is responsible for designing and operating the required administrative mechanisms 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 and approve the Investment Justifications (IJs) prior to submitting the formal application
- Retain the authority to halt Amtrak's funded activity immediately if Amtrak 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 Amtrak's performance of grant program activities
- Quarterly review of Amtrak's progress towards resolution of identified project issues

**C. Eligibility Information**

**Eligible Applicants**

The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under the FY 2015 Intercity Passenger Rail Program.

**Maintenance of Effort**

Maintenance of effort is not required under this program

**Cost Match**

Cost match is not required under this program

**D. Application and Submission Information**

**Submission Date and Other Key Dates and Times**

**Date Posted to Grants.gov:** April 2, 2015

**Application Submission Deadline:** May 19, 2015 at 11:59 PM EDT

All applications **must** be received by the established deadline. The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of the full application. In general, FEMA will not review applications that are not received by the deadline or consider them for funding. FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline, or other exigent or emergency circumstances. If you experience technical issues, you must notify the respective headquarters Program Analyst as soon as possible.

**Anticipated Award Date:** No later than 09/30/2015

**Other Key Dates:**

The chart below outlines suggested/estimated deadlines for completing the five steps required for a successful application submission prior to the deadline. These dates are only recommendations as applicants are responsible for planning far enough in advance to complete their application. The requirements outlined in the chart below are outside of FEMA's purview. Therefore, FEMA does not guarantee the timeframes for completing those processes. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

**Applicants are encouraged to register early for Authorized Organizational Representative (AOR) authorization. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.**

<b>Task</b>	<b>Suggested timeframe for completion of task to meet submission deadline</b>
Obtain DUNS Number	April 21, 2015
Obtain valid Employer Identification Number (EIN)	April 21, 2015
Update SAM registration	April 21, 2015
Submit initial application in grants.gov	May 9, 2015
Submitting application in ND Grants	May 19, 2015 (firm)

### **Address to Request Application Package**

Application forms and instructions are available at [Grants.gov](http://www.grants.gov). To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants,” read the registration requirements and register if necessary (**Wait at least 7-10 business days after you submit before your registration is active in SAM, then an additional 24 hours for [Grants.gov](http://www.grants.gov) to recognize your information**). In order to obtain the application package select “Download a Grant Application Package,” enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.

If you experience difficulties accessing information or have any questions please call the [Grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

Hard copies of the FY 2015 IPR NOFO are not available.

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

Applications will be processed through the [Grants.gov](http://www.grants.gov) portal and FEMA’s ND Grants System.

### **Content and Form of Application Submission**

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. Please review the table above under “Submission Dates and Other Key Dates and Times” for estimated deadlines to complete each of the six steps listed below. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

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

1. Applying for, updating or verifying their DUNS Number;
2. Applying for, updating or verifying their EIN Number;
3. Updating or verifying their SAM Number;
4. Establishing an Authorized Organizational Representative (AOR) in [Grants.gov](http://www.grants.gov);
5. Submitting an initial application in [Grants.gov](http://www.grants.gov); and
6. Submitting the complete application in ND Grants.

For additional information regarding the DUNS Number, EIN Number, SAM Number, and AOR requirements, please see the section below entitled Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR).

**Submitting an Initial Application Submission in Grants.gov.**

Amtrak must submit its initial application through [Grants.gov](http://Grants.gov). Amtrak may need to first create a [Grants.gov](http://Grants.gov) user profile by visiting the Get Registered section of the [Grants.gov](http://Grants.gov) website. Successful completion of this step is necessary for FEMA to determine eligibility of any applicant. Amtrak should complete this initial step online which requires completing:

- Standard Form 424 (SF424), Application for Federal Assistance, and
- [Grants.gov](http://Grants.gov) (GG) Form Certification Regarding Lobbying Form.

Both forms are available in the Forms tab under the SF-424 Family. The initial application cannot be started or submitted in [Grants.gov](http://Grants.gov) until Amtrak's registration in SAM is confirmed.

Application forms and instructions are available at [Grants.gov](http://Grants.gov) by selecting *Apply for Grants*. Enter the CFDA number or the Opportunity ID Number noted in this NOFO, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in [Grants.gov](http://Grants.gov) will be retrieved by ND Grants, which will allow FEMA to determine if an applicant is eligible. **Amtrak is encouraged to submit their initial application in [Grants.gov](http://Grants.gov) at least ten days before the May 19, 2015, application deadline.**

If you need assistance applying through [Grants.gov](http://Grants.gov), please go to the [Grant Application page](#), contact [support@grants.gov](mailto:support@grants.gov), or call 800-518-4726. *FEMA cannot assist with questions related to registering with [Grants.gov](http://Grants.gov).*

**Submitting the Complete Application in Non Disaster Grants System (ND Grants)**

Amtrak will be notified by FEMA and asked to proceed with submitting its complete application package in [ND Grants](#). Amtrak can register early with ND Grants and is encouraged to begin its ND Grants registration at the time of this announcement. Early registration will allow Amtrak to have adequate time to start and complete its application.

In ND Grants, Amtrak will be prompted to submit all of the information contained in the following forms. Amtrak should review these forms before applying to ensure it has included all the required information required.

- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-construction); and
- Standard Form LLL, Disclosure of Lobbying Activities

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

- Standard Form 424D, Standard Assurances (Construction) if applying for funds to use for construction;
- Standard Form 424C, Budget Information (Construction) if applying for grants to support construction;
- Investment Justification;
- Indirect Cost Agreement, if applicable

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

**Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR)**  
Before Amtrak can apply for a DHS/FEMA grant at [Grants.gov](http://Grants.gov), it must have a DUNS number and must be registered in the System for Awards Management (SAM).

**Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) Number**  
The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

Amtrak must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Amtrak should verify they have a DUNS number, or take the steps necessary to obtain one.

Amtrak can receive a DUNS number at no cost by calling the DUNS number request line at (866) 705-5711. *FEMA cannot assist with questions related to obtaining a current DUNS number.*

**Obtain an Employer Identification Number (EIN).**

FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for grant award payment; both the EIN and DUNS are also required to register with SAM (see below). The EIN base for an organization is the Internal Revenue Service (IRS) Tax ID number; for individuals it is their social security number, (both the EIN and social security number are nine-digit numbers). Organizations and individuals submitting their applications must correctly differentiate the EIN from the DUNS since both are nine-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.

Organizations [applying for an EIN](#) should plan on a minimum of two full weeks to obtain an EIN. If you need assistance registering an EIN, please go to [IRS helpline](#). *FEMA cannot assist with questions related to obtaining a current EIN.*

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

Applicants applying for grant funds electronically through [Grants.gov](http://Grants.gov) must register with the Federal System for Award Management (SAM). Step-by-step instructions for

registering with SAM can be found here:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. Amtrak must register with SAM in order to apply online. Failure to register with SAM will result in your application being rejected by [Grants.gov](http://www.grants.gov) during the submissions process.

Payment under any FEMA award is contingent on the recipient's having a current [SAM](http://www.grants.gov) registration. The SAM registration process must be completed by Amtrak. It is imperative that the information provided by Amtrak 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 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.

SAM sends notifications to the registered user via email 60, 30, and 15 days prior to expiration of the SAM registration for the Entity. SAM registration may lapse due to inactivity. To update or renew your Entity records(s) in SAM you will need to create a SAM User Account and link it to your migrated Entity records.

If you need assistance registering, please go to [SAM](http://www.sam.gov) or call 866-606-8220. *FEMA cannot assist applicants with questions related to registering in SAM or obtaining a current CAGE code.*

### **Authorized Organizational Representative**

The next step in the registration process is creating a username and password with [Grants.gov](http://www.grants.gov) to become an Authorized Organizational Representative (AOR). AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on [Grants.gov](http://www.grants.gov) visit:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

### **AOR Authorization**

After creating a profile on [Grants.gov](http://www.grants.gov), the E-Biz Point of Contact (E-Biz POC) a representative from Amtrak who is the contact listed for SAM will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to [Grants.gov](http://www.grants.gov) and approves an applicant as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Amtrak is encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to

ensure it does not impact your ability to meet required submission deadlines. After you have been approved as an AOR you will be able to submit your application online.

### **Electronic Signature**

Applications submitted through Grants.gov constitute a submission as electronically signed applications. The registration and account creation with Grants.gov with E-Biz POC approval establishes an Authorized Organization Representative (AOR). When you submit the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application. Amtrak must register the individual who is able to make legally binding commitments for Amtrak as the Authorized Organization Representative (AOR); this step is often overlooked and it is crucial for valid submissions.

### **IPR Specific Application Instructions**

Amtrak will submit its 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.

### **Investment Justification (IJ)**

As part of the FY 2015 IPR application process, Amtrak must develop a formal IJ that addresses each initiative being proposed for funding, including a project's management and administration (M&A) costs. Amtrak may submit up to 15 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. Amtrak is strongly encouraged to submit a separate IJ for each proposed project. IPR projects must be: 1) both feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the 3-year period of performance. Amtrak must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

IJs must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Amtrak must use the following file naming convention when submitting its IJ attachments through <https://portal.fema.gov> as part of the FY 2015 IPR Program:

Name of Applicant\_IJ Number (Example: Amtrak\_IJ 1)

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

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

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

### **Detailed Budget**

Amtrak 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.

Amtrak must use the following file naming convention when submitting detailed budgets through <https://portal.fema.gov> as part of the FY 2015 IPR Program:

Agency\_IJ Number\_Budget (Example: Amtrak\_IJ 1\_Budget)

Amtrak will find a sample [Budget Detail Worksheet in Appendix D – Sample Budget Detail Worksheet](#). This worksheet may be used as a guide to assist Amtrak in the preparation of the budget and budget narrative.

### **Sensitive Security Information (SSI) Requirements**

A portion of the information routinely 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/FEMA 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 can be located at 49 CFR § 1520.7.

For the purposes of IPR, and due to the high-frequency of SSI found in IJs, all IJs shall be considered SSI and treated as such until they have been subject to review for SSI by FEMA. This means that applicants shall label documents as SSI in accordance with 49 CFR § 1520.13 and password protect prior to submission. The passwords for protected documents must be sent (in a separate email from that containing the documents) 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.

### **Funding Restrictions**

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 awards, 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.

### **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 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. Recipients and subrecipients 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, must participate in the FEMA EHP review process. 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 also is 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. FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients are required to comply with FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, [\*Environmental Planning and Historic Preservation Policy Guidance\*](#), and FP 108.24.4, [\*Environmental Planning and Historical Preservation Policy\*](#).

### **SAFECOM**

Recipients (including subrecipients) who receive awards under the IPR that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the [\*SAFECOM Guidance on Emergency Communications Grants\*](#). This guidance provides recommendations to recipients 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. Recipients (including subrecipients) investing in

broadband-related investments should review [Information Bulletin \(IB\) 386](#), Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments, and consult their FEMA HQ Program Analyst on such investments before developing applications.

### **Pre-award Costs**

Pre-award costs are allowable only with the prior written approval of FEMA and if they are included in the award agreement. To request pre-award costs, a written request must be included with the application. The request must be signed by the Authorized Representative of the entity. 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.

### **Direct Costs**

#### Cost Principles

Costs charged to this award must be consistent with the Cost Principles for Federal Awards located at 2 C.F.R. Part 200, Subpart E.

#### Operational Packages (OPacks)

OPack costs are allowed under this program as described in this NOFO. 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. In addition, Amtrak must commit to minimum training standards to be set by the Department for all IPR funded security positions.

#### Travel

Domestic travel costs are allowed under this program as described in this NOFO. International travel is NOT an allowable cost under this program unless approved in advance by FEMA.

#### Construction and Renovation

Construction and renovation costs are allowed under this program as described in this NOFO. 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 headquarters 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, it 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 no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available at <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

#### Operational Overtime

Operational Overtime costs are allowed under this program as described in this NOFO. For additional information on overtime for the FY 2015 IPR Program, refer to Appendix B – Funding Guidelines.

#### 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 this NOFO and FEMA Policy FP 205-402-125-1, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

For additional information on allowable costs and funding restrictions, refer to Appendix B of this NOFO, *FY 2015 IPR Funding Guidelines*.

#### **Management and Administration (M&A)**

Management and administration costs are allowed. Amtrak may use up to five percent (5%) of the amount of the award for M&A. M&A activities are those defined as directly relating to the management and administration of IPR funds, such as financial management and monitoring.

#### **Indirect (Facilities & Administrative (F&A)) Costs**

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. 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, and must be provided to FEMA before indirect costs are charged to the award.

## **E. Application Review Information**

### **Criteria**

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 2015 IPR Program NOFO.
- 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. Timeline.** Projects will be evaluated and prioritized on the ability of the Amtrak to complete the proposed project within submitted timeframes.

Grant projects must be: 1) both feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the 3-year period of performance.

FEMA will use the information provided in the application, as well as any supporting documentation, to determine the feasibility and effectiveness of the grant project. Information that would assist in the feasibility and effectiveness determination includes the following:

- Scope of work (purpose and objectives of the project, identification of what is being protected)
- Desired outcomes, including expected long-term impact where applicable
- Summary of status of planning and design accomplished to date (e.g. included in a capital improvement plan)
- Project schedule

Recipients are expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices.

## **F. Federal Award Administration Information**

### **Notice of Award**

Notification of award approval is made through the ND Grants system through an automatic e-mail to Amtrak's point of contact (the "authorized official") listed in the initial application. The "award date" for IPR will be the date that FEMA approves the

award. Amtrak should follow the directions in the notification to confirm acceptance of 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, through the ND Grants system. For instructions on how to accept or decline and award in the ND Grants system, please see pages 40-43 in the [ND Grants Grantee Training Manual](#).

Funds will remain on hold until 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.

### **Administrative and National Policy Requirements**

Successful applicants for all DHS/FEMA grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at: <http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>

Before accepting the award the authorized official should carefully read the award package. The award package contains instructions on administering the grant award, as well as the terms and conditions with which Amtrak must comply. Amtrak must accept all the conditions in this NOFO as well as all Terms and Conditions in Notice of Award to receive an award under this program.

### **Reporting**

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

### **Federal Financial Reporting Requirements**

#### **Federal Financial Report (FFR)**

Amtrak must report obligations and expenditures on a quarterly basis through the [FFR \(SF-425\) to FEMA](#). [Amtrak must file the FFR electronically using PARS](#). A 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. The final FFR is due 90 days after the end date of the performance period. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

Recipients may review the Federal Financial Reporting Form (FFR) (SF-425) here: [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf), SF-425 OMB #00348-0061.

#### **Financial Reporting Periods and Due Dates**

The following reporting periods and due dates apply for the FFR:

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

**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=876f827f6fae2c4bce610e9427a6d229&node=sp2.1.200.f&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)

**Program Performance Reporting Requirements**

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

Recipients are responsible for providing updated performance reports using the SF-PPR on a biannual basis. Recipients must submit the cover page of the SF-PPR as an attachment in 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).

**Program Performance Reporting Periods and Due Dates**

The following reporting periods and due dates apply for the PPR:

<b>Reporting Period</b>	<b>Report Due Date</b>
January 1 – June 30	July 30
July 1 – December 31	January 30

**Closeout**

FEMA will close out the grant award when it determines that all applicable administrative actions and all required work of the IPR award have been completed by Amtrak. This section summarizes the actions that Amtrak must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 at the end of the grant’s period of performance or the issuance of a Grant Amendment Notice issued to close out the grant.

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, Amtrak must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as the following documentation:

- 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 Grant Programs Directorate (GPD) HQ 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; and
- 6) Other documents required by program guidance or terms and conditions of the award.

If applicable, an inventory of all construction projects that used funds from this program has to be reported using the Real Property Status Report (Standard Form SF 429) 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).

Additionally, Amtrak must liquidate all obligations incurred under the IPR award no later than 90 calendar days after the end date of the period of performance or issuance of a Grant Amendment Notice that closes out the award, whichever comes first. If Amtrak does not liquidate its obligations within this time period, it may have the costs of its unliquidated obligations disallowed. Amtrak is also responsible for promptly returning to the Department of Transportation the balance of any funds that have been drawn down, but remain unliquidated.

After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds the recipient has not drawn down that will be deobligated, and address requirements for record retention, and disposition and reporting requirements for any equipment or real property purchased using IPR grant funding.

If Amtrak issues subgrants to any subrecipients, it is responsible for closing out those subgrants as described in 2 C.F.R. § 200.343. Amtrak must ensure that it completes the closeout of its subgrants in time to submit all necessary documentation and information to FEMA during the closeout of its own grant award.

## **G. DHS Awarding Agency Contact Information**

### **Contact and Resource Information**

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

CSID is a non-emergency comprehensive management and information resource developed by DHS/FEMA 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, recipients 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.

### **GPD Grant Operations Division**

GPD's Grant Operations Division Business Office provides financial support and technical assistance. The Grant Operations Division 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).

### **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. A list of contacts in FEMA Regions is available online.

### **Systems Information**

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

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

### **GPD Environmental Planning and Historic Preservation (GPD-EHP)**

The FEMA GPD-EHP Team provides guidance and information about the EHP review process to recipients. 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 Technical Assistance, the EHP Screening Form, can be found at [http://www.fema.gov/media-library-data/20130726-1806-25045-2839/gpd\\_ehp\\_screening\\_form\\_omb\\_1660\\_0115\\_june\\_2011.pdf](http://www.fema.gov/media-library-data/20130726-1806-25045-2839/gpd_ehp_screening_form_omb_1660_0115_june_2011.pdf).

### **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.

### **Hard Copies of the NOFO**

Hard Copies of the NOFO are not available.

## **H. Additional Information**

### **National Preparedness**

DHS/FEMA 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 2015 IPR program 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 identified 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 <https://www.fema.gov/national-preparedness-system>. Additional details regarding the National Preparedness System and how it is supported by the IPR program can be found in Appendix A – Program Priorities.

### **Payment**

FEMA utilizes the [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing, and tracking payments.

FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, Amtrak must complete a Standard Form 1199A, Direct Deposit Form.

### **Monitoring**

Amtrak 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.

### **Conflict of Interest**

To eliminate and reduce the impact of conflicts of interest in the subaward process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients and pass-through entities also are required to follow any applicable state, local, or Tribal statutes or regulations governing conflicts of interest in the making of subawards.

The recipient or pass-through entity must disclose to FEMA, in writing, any real or potential conflict of interest as defined by the Federal, state, local, or Tribal statutes or regulations or their own existing policies, that may arise during the administration of the Federal award. Recipients and pass-through entities must disclose any real or potential

conflicts to their Program Analyst within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the Recipient's conflict of interest policies, or any applicable state, local, or Tribal statutes or regulations.

Conflicts of interest may arise during the process of FEMA making a Federal award in situations where an employee, officer, or agent, any members of his or her immediate family, his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, subapplicant, recipient, subrecipient, or FEMA employees.

## **Extensions**

Extensions to this program are allowed.

Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to Amtrak's FEMA headquarters Program Analyst and must contain specific and compelling justifications as to why an extension is required. Amtrak is advised to coordinate with the FEMA headquarters 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 as described in the investment justification approved by FEMA.

Amtrak must submit all proposed extension requests to 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. Extension requests will be granted only due to compelling legal, policy, or operational challenges. For more information on extensions, refer to [IB 379](#), *Guidance to State Administrative Agencies to Expedite the Expenditure of Certain FEMA Grant Funding*.

## **Appendix A – FY 2015 IPR Program Priorities**

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

The Nation utilizes the National Preparedness System to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal). The Goal is “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”

The objective of the National Preparedness System is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based, whole community approach to preparedness. Complex and far-reaching threats and hazards require the engagement of individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

The FY 2015 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**

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.

Using the core capabilities, the FY 2015 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.

For more information, read the National Preparedness System Description available at <http://www.fema.gov/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/FEMA 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/FEMA grants support must include local government representatives. At the state and regional levels, 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.

### **Validating Capabilities**

Exercises implemented with grant funds should examine, validate and/or address the performance of capability against the level of capabilities required. Grantees should develop and maintain a progressive exercise program consistent with Homeland Security Exercise and Evaluation Program (HSEEP) (<https://www.fema.gov/exercise>) and in support of the National Exercise Program (NEP) (<http://www.fema.gov/national-exercise-program>). The National Exercise Program (NEP) is critical to our Nation's ability to test and validate core capabilities. To this end, grantees are highly encouraged to nominate exercises into the NEP. For additional information on the NEP, please refer to <http://www.fema.gov/national-exercise-program>.

In order to report on exercises from the exercise program, grantees should submit an After-Action Report/Improvement Plan (AAR/IP) to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov), no later than 90 days after completion of the grant-funded exercise conducted within the IPR period of performance. In accordance with HSEEP guidance, grantees are reminded of the importance of implementing

corrective actions iteratively throughout the progressive exercise cycle. Grantees are encouraged to use the HSEEP AAR/IP template and utilize the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, as a means to track the implementation of corrective actions listed in the AAR/IP.

**The Department has identified the following project types for the FY 2015 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 2015 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 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™” 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***

Amtrak 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. Amtrak 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 2015 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”™ 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 – FY 2015 IPR Funding Guidelines

Amtrak may only use IPR Program grant funds for the purpose set forth in the grant, and grant-funded activities must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal awards, 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 provide guidance outlining generally allowable and unallowable IPR Program costs.

- 1. Management and Administration.** M&A costs may not exceed five percent (5%) of the total award. FY 2015 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 2015 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 2015 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/FEMA

## **Operational Activities**

Operational Packages (OPacks) include the aggregation of allowable expenses for personnel, training, and equipment that are required to build and sustain a team's operational mission. OPacks are effective tactics for supporting the FY 2015 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 Amtrak does not have a Security Capital and Operational Sustainment Plan.**

DHS/FEMA 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 IPR program funding is for uniformed, dedicated transit patrols on a normal operation basis, rather than using teams only for a surge capacity as provided by DHS/FEMA in the past. The ATTs initiative aligns with DHS/FEMA'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 36 month period. The monetary figures presented below are stated in terms of cost per period of performance (which indicates actual/complete funding for the 36 month period). Additionally, any OPack costs after the 36 month period of performance (including expenses related to the maintenance, personnel, equipment, etc.) are the responsibility of Amtrak or any 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 (36 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/FEMA upon request</li> </ul>
Mobile Explosives Screening Team	Certifications should be on file with Amtrak and must be made available to DHS/FEMA 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.

---

<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

### **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). Amtrak 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/FEMA upon request.

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/FEMA 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/FEMA 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/FEMA 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 2015 IPR Program funds may be used for the following categories of equipment. A comprehensive listing of allowable equipment categories and types is found in the [FEMA/DHS Authorized Equipment List \(AEL\)](#). 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/FEMA-adopted standards to be eligible for purchase using these funds. Equipment must comply with the Occupational Safety and Health Administration requirement for certification of electrical equipment by a nationally recognized testing laboratory, and demonstrate compliance with relevant DHS/FEMA-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: <http://www.fema.gov/preparedness-non-disaster-grants> or <http://www.fema.gov/grants>

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 grant awards, unless otherwise noted.

FY 2015 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 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 2015 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 state or local unit(s) of government or the awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. In no case is dual compensation allowable.
- **Overtime and Backfill.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. Reimbursement of these costs should follow 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 2015 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. The applicant must follow all applicable procurement regulations at 2 C.F.R. Part 200 when procuring contractor services. In no case is dual compensation allowable.
- **Personnel expenses, which must not exceed 15 percent (15%)** of the total allocation.
- **Overtime and Backfill.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or local unit(s) of government or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Travel.** Travel costs 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 FEMA and included in the grant award
- Costs that are not consistent with the Cost Principles located at 2 C.F.R. Part 200, Subpart E, as applicable.

**Additional Considerations**

***Enhancing Cybersecurity Capabilities***

Amtrak is encouraged to propose projects to aid in implementation of all or part of the National Institute of Standards and Technology Cyber Security Framework (the 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 2015 IPR Program Investment Justification Template

**Investment Justification Template:** As part of the FY 2015 IPR Program application process, Amtrak 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/FEMA. Amtrak 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/FEMA 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 NOFO.</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 addressing the needs and priorities identified in earlier analysis and review;</li> </ul>

	<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 2015 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 2015 IPR Program funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY 2015 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>			
Total			

IV.B. Discuss funding resources beyond the current fiscal year grant funding that have been identified and will be leveraged to support the implementation and sustainment of this investment.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> <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> </ul>

	<ul style="list-style-type: none"> <li>• If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY 2015 IPR Program funding is sufficient for the implementation and sustainment of this investment; and</li> <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 2015 IPR Program funds and will be completed over the 36-month grant period;</li> <li>• Milestones should be kept to high-level, major tasks that will need to occur;</li> <li>• Identify the planned start date associated with the identified milestone. 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 2015 IPR Program:

Name of Applicant\_ IJ Number (Example: Amtrak\_IJ\_1)

## Appendix D - FY 2015 IPR 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 the applicant’s procurement policy follows standards found in 2 C.F.R. § 200.318(a).

**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 2 C.F.R. Part 200.

**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 allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. 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, and must be provided to FEMA before indirect costs are charged to an award.

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 2015 IPR does not require matching funds; the Non-Federal Amount should be left blank for all FY 2015 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 2015 IPR Program:

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

## Appendix E - FY 2015 IPR 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 – 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?