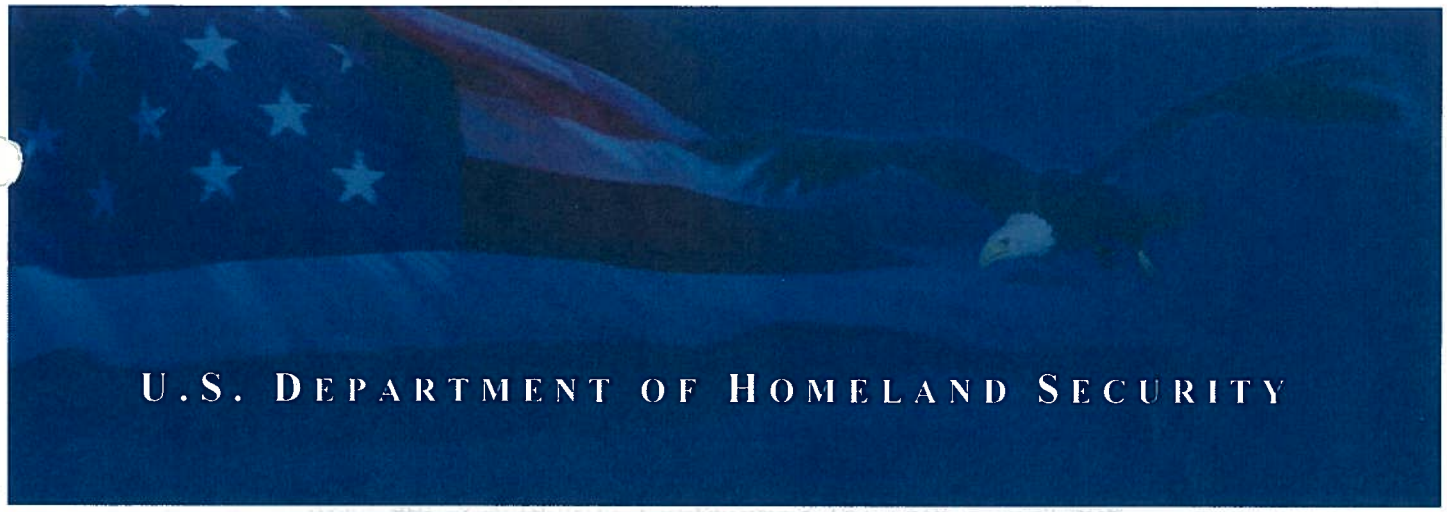

Fiscal Year 2007
INFRASTRUCTURE PROTECTION PROGRAM:

TRANSIT SECURITY GRANT PROGRAM SUPPLEMENTAL FUNDING

PROGRAM GUIDANCE AND APPLICATION KIT

August 2007

FEDERAL EMERGENCY MANAGEMENT AGENCY
NATIONAL PREPAREDNESS DIRECTORATE

SUMMARY OF CHANGES

The Fiscal Year 2007 (FY07) Supplemental Funding to the Transit Security Grant Program (TSGP) will largely be awarded in the same manner as the FY07 TSGP grants. There are a few adjustments to eligibility and program priorities that are discussed throughout this guidance, and are also shown in the table below.

Changes in the FY07 Supplemental Funding to the TSGP

Change	Description	Page Reference(s)
Tier II funding and submissions	Tier II funding will be available for **pre-priced fast track security training only.**	3, 8, 12, 15, Appendices 4 and 5
Operational Packages	An operational cost allowance has been added as an eligible expense in Tier I. Regions will be allowed to use up to 25 percent of their funding for personnel costs that support specified operational packages. As a precondition to accepting federal funds for these operational packages, grantees must agree to a 50% match of federal funds provided.	5, 22-26 (Appendix 2)
Eligible Agencies	• Eligibility in Tier I will be expanded to include law enforcement agencies with dedicated transit security units. • Ferry systems are not eligible to apply for FY07 TSGP Supplemental funding.	8
Pre-Priced Fast-Track Training	To request training, applicants must submit a streamlined Investment Justification and a Training Cost Matrix. Further, there will be a ceiling on how much each transit system can request in training funds; additionally, the period of performance for these training funds will be expanded to 24 months.	5-6, Appendix 5

All applicants are required to read and conform to all requirements of this grant guidance document and must have read and accepted all program guidance as binding.

CONTENTS

SUMMARY OF CHANGES I
CONTENTS II
INTRODUCTION 1
PART I. AVAILABLE FUNDING AND ELIGIBLE APPLICANTS 6
PART II. APPLICATION EVALUATION PROCESS 10
PART III. PROGRAM REQUIREMENTS 12

APPENDIX 1 ALIGNMENT OF IPP WITH THE NATIONAL PREPAREDNESS ARCHITECTURE 19
APPENDIX 2 TSGP SUPPLEMENTAL ALLOWABLE EXPENSES 20
APPENDIX 3 *GRANTS.GOV* QUICK-START INSTRUCTIONS 30
APPENDIX 4 INVESTMENT JUSTIFICATION 38
APPENDIX 5 TRAINING COST MATRIX 50
APPENDIX 6 AWARD AND REPORTING REQUIREMENTS 54
APPENDIX 7 ADDITIONAL RESOURCES 60

INTRODUCTION

The Transit Security Grant Program is one of five grant programs that constitute the Department of Homeland Security (DHS) Fiscal Year 2007 (FY07) Infrastructure Protection Program (IPP).[1] The IPP is one tool among a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the nation's critical infrastructure against risks associated with potential terrorist attacks.

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

A. Funding Priorities.

The funding priorities for the FY07 supplemental funding to the TSGP reflect the Department's overall investment strategy, in which two priorities have been paramount: risk-based funding and regional security cooperation.

First, and based upon ongoing intelligence analysis, extensive security reviews, consultations with the transit industry and Congressional direction, DHS has once again focused the bulk of its available transit grant dollars on the highest-risk systems in our country's largest metropolitan areas. Eligible agencies were identified using a comprehensive, empirically-grounded risk analysis model that is described below in the section regarding eligible recipients.

Transit agencies in eight metropolitan areas, identified in Table 2, are the Tier I transit investment agencies. In each of these eight areas, DHS identifies a specific target investment level, stated as a "not to exceed" dollar amount. These dollar amounts for the FY07 supplemental funding to the TSGP were determined in the same manner as for the original FY07 TSGP allocations. The FY07 supplemental TSGP awards for Tier I regions will be made in the form of cooperative agreements, as they were for the FY07 TSGP. In previous years, grants had been competitively awarded within each region. Due to the competitive nature, there was limited dialogue with transit systems prior to and post-award.

Under cooperative agreements, DHS will partner with regions and their transit systems to identify projects with the greatest security impact in order to ensure the region is addressing risk in a comprehensive and collaborative manner. Further, DHS will work closely with the region and transit systems post-award to ensure that the projects are being implemented effectively. Cooperative agreements also allow greater flexibility throughout the lifecycle of the grant. For example, if situations arise where the direction

[1] The IPP's other components include grants targeted for marine ports, intercity bus companies, the trucking industry's Highway Watch program and the Buffer Zone Protection Program for other high-risk infrastructure facilities.

of the project needs to be changed, the cooperative agreement approach allows DHS to work directly with the transit system in real-time.

The eligible applicants for Tier II remain the same as for the FY07 TSGP. The Tier II agencies will compete for funding drawn from a single pool of applicants. Tier II systems may only submit new applications for fast-track, pre-priced training. No other competitive applications will be accepted for the FY07 supplemental funding to the TSGP.

Second, DHS places a very high priority on ensuring that all TSGP applications reflect robust regional coordination and can show an investment strategy that institutionalizes regional security strategy integration. The majority of Tier I and Tier II regions have more than one transit operating agency. Close coordination of the Federal TSGP investments in each of these cases will be a requirement for all successful applications to reflect a comprehensive, regional approach to addressing security. DHS will work with successful grantees to strengthen and support the regional consultation processes.

In addition to these two overarching priorities, the Department identifies the following seven specific priorities as our highest priority selection criteria for the FY07 TSGP rail and bus grants:

1. **Protection of high risk/high consequence underwater and underground rail assets**. Many of the nation's largest transit systems have significant track miles and large concentrations of riders in rail systems that run underground and underwater. It is the highest priority of the FY07 TSGP to support measures that will protect underground rail system assets, and particularly underwater assets, from terrorist attack by improvised explosive devices (IEDs) or other threats that can damage or significantly breach such assets. Active coordination and regular testing of emergency evacuation plan can greatly reduce loss of life in serious incidents.

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

3. **Use of visible, unpredictable deterrence.** Visible and unpredictable security activities instill confidence and enhanced security awareness in the riding public,

and deter attacks by disrupting the ability of terrorists to prepare for and execute attacks. Examples include 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 or their residue and other suspicious items on persons or in packages.

4. **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, appropriate responses to protect self and passengers, use of protective devices, crew communication and coordination, and incident evacuation procedures. For example, well trained and rehearsed operators can help ensure that if an underground station has suffered a chemical agent attack, trains – and the riding public – are quickly removed from the scene, thus reducing their exposure and risk.

5. **Emergency preparedness drills and exercises**. In order to assess and enhance a system's capability to respond under the 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 TSGP can support exercises related to terrorist attack scenarios (such as IED or CBRNE attacks), natural disasters and other emergencies. Such programs can take various forms, from table top exercises to more comprehensive multi-agency full-scale exercises. TSGP funds also support rigorous after action assessments to identify further system improvements.

6. **Public awareness and preparedness campaigns**. A public awareness and preparedness program can employ announcements, postings in stations and transit vehicles or other media to ensure awareness of heightened alert or threat conditions. Effective awareness programs enlist the public in becoming an informal part of an agency security plan. They should explain specific actions the public can take to contribute to strengthening system security.[2]

7. **Efforts in support of the national preparedness architecture**. Transit agencies are encouraged to take steps to embrace the national preparedness architecture priorities, several of which have already been highlighted as TSGP priorities. The following six national priorities are particularly relevant: expanding regional collaboration; implementing the National Incident Management System, the National Response Plan and the National Infrastructure Protection Plan; strengthening information sharing and collaboration capabilities; enhancing interoperable communications capabilities; strengthening CBRNE detection and response capabilities; and improving citizen preparedness capabilities.

[2] For more information about citizen preparedness, see the Citizen Corps website at *http://www.citizencorps.gov/*.

B. Allowable Expenses.

Specific investments made in support of the funding priorities discussed above generally fall into one of five categories. FY07 supplemental funding to the TSGP allowable costs are therefore divided into the following six categories:

1. Planning
2. Operational Packages (OPacks)
3. Equipment acquisitions
4. Training
5. Exercises
6. Management and administration

Operational costs were not a specific allowable cost in the FY07 TSGP. However, with this supplemental, eligible Tier I applicants can apply for Operational Packages. **Operational costs for OPacks cannot account for more than 25% of the region's total FY07 TSGP Supplement allocation; there is a 50% match required for these OPack costs under the FY07 TSGP Supplemental. A waiver may be requested from DHS for approval of up to an additional 25% of the region's total FY07 TSGP supplemental allocation (50% total) to support OPack operational costs. DHS will only consider these requests if the grantee demonstrates in writing to the Department that a critical need clearly exists and the request is supported by substantial threat or vulnerability data. If such a request is approved, the 50% match requirement for the additional 25% may be waived at the discretion of the Department. Under no circumstance can federal funds be used to meet matching requirements or be combined with other federal funds provided for the same purpose.**

The allowance of operational expenses for OPacks only applies to the FY07 TSGP Supplemental as a pilot program exclusively for counterterrorism activities performed by dedicated counterterrorism personnel; **only Tier I awardees qualify for participation**. These funds may only be used to fill new dedicated full-time OPack positions, personnel costs directly related to performing OPack counterterrorism activities, or overtime costs associated with OPack activities. Backfill costs or any associated backfill overtime costs are not allowed.

Any Tier 1 jurisdiction electing to pursue these options must take the following actions:

- Submit documentation from the jurisdiction's chief elected official that certifies in writing that funds being used under this provision are only used to fill new dedicated full-time OPack positions, personnel costs directly related to performing OPack counterterrorism activities, or overtime costs associated with OPack activities.

- Develop and submit for review within 60 days of the grant award a detailed audit process to ensure that supported personnel are involved only in counterterrorism

activities as defined per the selected OPack position; these audit activities must be submitted to DHS for review on a semiannual basis.

Awardees must commit to minimum training standards to be set by the Department for all federally funded security personnel. Costs associated with meeting these training standards will continue to be an allowable expense with no required cost share. Appendix 2 provides additional detail about each of these six allowable expense categories, as well as a section that identifies several specifically unallowable costs.

C. Pre-Priced Fast Track Training.

Recent assessments and evaluations have highlighted the fact that security training for front-line employees of transit systems is a critical vulnerability that must be addressed as soon as possible. Training for Tier I systems will be addressed through the cooperative agreement awards.

Tier II transit systems should submit investment justifications using the training cost matrix. Eligible applicants that elect to submit must use this matrix to determine the amount of funding pre-approved through the grant process for training classes, depending on the type of course and the type of employees being trained. Applicants should ask for the exact amount of funds as derived from the matrix to ensure compliance with pre-approved costs, and to expedite the award process, as the matrix represents approved cost estimates. Additional costs above the pre-approved amount will not be funded within this grant program. The matrix includes different types of training ("Basic" and "Follow-On"), employee categories, and course duration, as well as indications of what types of employees should receive what type of training. On the "Data Entry" sheet transit systems should enter in the number of employees in each category that should receive a certain type of training. The matrix will automatically calculate the training cost based on course type, number of employees receiving training, and course duration. This training matrix will constitute the required "detailed budget" component of the grant application, along with the investment justification. More information on the training cost matrix can be found in Appendix 5.

Under the original fast track training initiative for the FY07 TSGP, the period of performance for the fast-track training is one year. **However, for the FY07 TSGP supplemental, the period of performance for the fast-track training will be 24 months**. Transit systems that previously applied for fast-track training that exceeded one year and therefore were not fully awarded can re-apply for fast-track training funds for the full grant lifecycle by submitting a new fast-track training investment justification. Eligible applicants may apply for up to **$500,000** in fast track training funds.

PART I.
AVAILABLE FUNDING AND ELIGIBLE APPLICANTS

This section summarizes the total amount of funding available under the FY07 TSGP supplemental, the basic distribution method used to administer the grants, and identifies all transit systems eligible for FY07 supplemental funding.

A. Available Funding.

The total amount of funds distributed under the FY07 supplemental funding to the TSGP will be $100 million, an addition to the $171.8 million from the original FY07 TSGP. The available funding is summarized in Table 1 below.

Table 1: Available FY07 Supplemental Funding to the TSGP FY07

Transportation Mode	FY07 Funding
Tier I: Rail & Intracity Bus	$91,300,000
Tier II: Rail & Intracity Bus	$8,700,000
TOTAL	**$100,000,000**

B. Selection of Eligible Applicants.

Agencies eligible for the FY07 TSGP were identified using comprehensive, empirically-grounded risk analysis modeling, explained in the FY 2007 Infrastructure Protection Program: Transit Security Grant Program Guidance and Application Kit. (For more information on the selection methodology, please refer to the FY07 IPP: TSGP Guidance and Application Kit.)

All transit systems that were eligible in the FY07 TSGP are eligible in the FY07 TSGP supplemental, excluding Ferry.

C. Eligible Applicants and Role of State Administrative Agencies.

The Governor of each State and Territory with an FY07 Urban Area Security Initiative (UASI) jurisdiction is required to designate a State Administrative Agency (SAA) to apply for and administer the funds awarded under the TSGP. The SAA is the only entity eligible formally to apply for TSGP funds.[3] DHS requires that the SAA be responsible

[3] This does **not** apply to Amtrak. Amtrak may apply for and receive a direct award pursuant to 2007 guidance.

for obligating TSGP funds to the appropriate individual transit agencies within 60 days after receipt of funds.[4]

For the FY07 TSGP supplemental awards only, law enforcement agencies that are principal providers of transit security to a Tier I system, and maintain dedicated transit units, **may apply** for funding under the five OPacks. Any law enforcement agency that provides security-related services to a transit system will be eligible for FY07 TSGP supplemental funding, provided that the funding **only** supports transit-related security activities and not other departmental operations. Note: This provision applies exclusively to the New York City, Chicago, and San Francisco Police Departments, Los Angeles County Sheriff's Department, and Orange County (CA) Sheriff's Office which support, respectively, Tier I regional transit agencies in the New York City, Chicago, Bay Area, and Greater Los Angeles urban areas. Applications for these law enforcement agencies for FY07 TSGP Supplement funding must be submitted via the SAA for the respective region.

Table 2 summarizes the specific rail and intracity bus transit systems that are eligible for funding through the FY07 TSGP supplemental by tier. Tier I regions are eligible to apply for the identified risk-based funding allocation for rail and intracity bus. Tier II regions may compete for available rail and intracity bus funding **for training only**. In the event that the Tier II training requests are less than the available amount of $8.7 million, projects that were submitted but not funded as part of the FY07 TSGP may be considered for award under the FY07 TSGP Supplement. **Tier II funding priority will be given to:**

- Transit systems that did not receive and/or apply for FY07 TSGP fast track training funds
- Transit systems that need to fulfill basic training requirements (before the follow-on courses)

Tier II transit systems may only request up to **$500,000** in training funds due to the limited availability of funding.

Eligibility does not guarantee grant funding.

[4] For purposes of the FY07 TSGP, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down) have been removed.

Table 2. Eligible Rail and Intracity Bus Transit Systems

Tier	State	Urban Area	Eligible System	Eligible Mode	FY 2007 Supplemental
I	CA	Bay Area	Alameda-Contra Costa Transit District (AC Transit)	Bus	$8,400,000
			Altamont Commuter Express (ACE)	Commuter Rail	
			Bay Area Rapid Transit (BART)	Heavy Rail	
			Central Contra Consta Transit Authority	Bus	
			Golden Gate Bridge, Highway and Transportation District	Bus	
			Metropolitan Transportation Commission (Transbay Bus Terminal)	Bus	
			Peninsula Corridor Joint Powers Board (Caltrain)	Commuter Rail	
			San Francisco Municipal Railway (MUNI)	Commuter Rail, Light Rail, Bus	
			San Mateo County Transit Authority (SamTrans)	Bus	
			Santa Clara Valley Transportation Authority (VTA)	Light Rail, Bus	
			San Francisco Police Department	Law Enforcement	
		Greater Los Angeles Area (Los Angeles/Long Beach and Anaheim/Santa Ana UASI Areas)	City of Los Angeles Department of Transportation	Bus	$4,300,000
			Foothill Transit	Bus	
			Long Beach Transit	Bus	
			Los Angeles County Metropolitan Transportation Authority	Heavy Rail, Light Rail, Bus	
			Orange County Transportation Authority (OCTA)	Bus	
			Santa Monica's Big Blue Bus	Bus	
			Southern California Regional Rail Authority (Metrolink)	Commuter Rail	
			Los Angeles Sheriff's Department	Law Enforcement	
			Orange County Sheriff's Office	Law Enforcement	
	DC/MD/VA*	Greater National Capital Region (National Capital Region and Baltimore UASI Areas)	City of Alexandria (Alexandria Transit Company)	Bus	$11,100,000
			Fairfax County Department of Transportation	Bus	
			Maryland Transit Administration (MTA)	Commuter Rail, Heavy Rail, Light Rail, Bus	
			Montgomery County Department of Transportation	Bus	
			Potomac and Rappahannock Transportation Commission	Bus	
			Prince George's County Department of Public Works and Transportation	Bus	
			Virginia Railway Express (VRE)	Commuter Rail	
			Washington Metropolitan Area Transit Authority	Heavy Rail, Bus	
	GA	Atlanta Area	Georgia Regional Transportation Authority	Bus	$2,100,000
			Metropolitan Atlanta Rapid Transit Authority (MARTA)	Heavy Rail, Bus	
	IL/IN**	Chicago Area	Chicago Transit Authority (CTA)	Heavy Rail, Bus	$7,800,000
			Northeast Illinois Commuter Railroad Corporation (METRA)	Commuter Rail	
			Northern Indiana Commuter Transportation District	Commuter Rail	
			PACE Suburban Bus	Bus	
			Chicago Police Department	Law Enforcement	
	MA	Boston Area	Massachusetts Bay Transportation Authority (MBTA)	Commuter Rail, Heavy Rail, Light Rail, Bus	$9,400,000
	NY/NJ/CT***	New York City/Northern New Jersey Area (New York City and Jersey City/Newark UASI Areas)	Connecticut Department of Transportation	Commuter Rail	$37,200,000
			Metropolitan Transportation Authority (MTA)	Heavy Rail, Commuter Rail, Bus	
			New Jersey Transit Corp. (NJT)	Light Rail, Commuter Rail, Bus	
			Port Authority of New York and New Jersey (PANYNJ)	Heavy Rail, Bus Terminals	
			Westchester County Department of Transportation	Bus	
			New York City Police Department (NYPD)	Law Enforcement	
	PA/NJ****	Philadelphia Area	Delaware River Port Authority (DRPA)	Heavy Rail	$5,900,000
			New Jersey Transit Corp. (NJT)	Commuter Rail, Light Rail, Bus	
			Pennsylvania Department of Transportation	Commuter Rail	
			Southeastern Pennsylvania Transportation Authority (SEPTA)	Commuter Rail, Heavy Rail, Light Rail, Bus	
	N/A	N/A	Amtrak	Intercity Passenger Rail	$5,100,000

Tier	State	Urban Area	Eligible System	Eligible Mode	FY 2007 Supplemental
II	AZ	Phoenix Area	City of Phoenix Public Transit Department	Bus	Available Tier II Funding in FY 07 Supplemental: $8,700,000
			Valley Metro Regional Public Transportation Authority (Valley Metro)	Bus	
		Tucson Area	City of Tucson Transit	Bus	
	CA	Sacramento Area	Sacramento Regional Transit District	Light Rail	
		San Diego Area	North San Diego County Transit District (NCTD)	Commuter Rail, Bus	
			San Diego Metropolitan Transit System (MTS)	Light Rail, Bus	
	CO	Denver Area	Regional Transportation District	Light Rail, Bus	
	FL	Jacksonville Area	Jacksonville Transportation Authority	Other Rail (AG)	
		Miami/Fort Lauderdale (Miami and Fort Lauderdale UASI Areas)	Broward County Division of Mass Transit	Bus	
			Miami-Dade Transit	Heavy Rail, Other Rail (AG), Bus	
			South Florida Regional Transportation Authority (Tri-Rail)	Commuter Rail	
		Orlando Area	Central Florida Regional Transportation Authority	Bus	
		Tampa Area	Hillsborough Area Regional Transit Authority (HART)	Bus	
			Pinellas Sun Coast Transit Authority	Bus	
	HI	Honolulu Area	City and County of Honolulu Department of Transportation Services	Bus	
	LA	New Orleans Area	Jefferson Parish Department of Transportation	Bus	
			New Orleans Regional Transit Authority (NORTA)	Light Rail, Bus	
	MI	Detroit Area	City of Detroit Department of Transportation	Bus	
			Detroit Transportation Corporation	Other Rail (AG)	
			Suburban Mobility Authority for Regional Transportation	Bus	
	MN	Twin Cities Area	Metro Transit	Light Rail, Bus	
	MO	St. Louis Area	Bi-State Development Agency (Metro)	Light Rail, Bus	
			Madison County Transit District	Bus	
	NV	Las Vegas Area	Regional Transportation Commission of Southern Nevada	Bus	
	NY	Buffalo Area	Niagara Frontier Transp. Authority	Light Rail	
	NC	Charlotte Area	Charlotte Area Transit System (CATS)	Bus	
	OH	Cincinnati Area	Southwest Ohio Regional Transit Authority	Bus	
			Transit Authority of Northern Kentucky	Bus	
		Cleveland	The Greater Cleveland Regional Transit Authority	Heavy Rail, Light Rail, Bus	
	OR	Portland Area	Clark County Public Transportation Benefit Area (C-TRAN)	Bus	
			Tri-County Metropolitan Transportation District (Tri-Met)	Light Rail	
	PA	Pittsburgh Area	Port Authority of Allegheny County	Light Rail, Bus	
	RI	Providence Area	Rhode Island Public Transit Authority	Bus	
	TN	Memphis Area	Memphis Area Transit Authority	Light Rail	
	TX	Dallas/Fort Worth/Arlington Area	Dallas Area Rapid Transit (DART)	Light Rail, Bus	
			Fort Worth Transportation Authority (The T)	Bus	
			Trinity Railway Express (TRE)	Commuter Rail	
		Houston Area	Metropolitan Transit Authority of Harris County	Light Rail, Bus	
		San Antonio Area	VIA Metropolitan Transit	Bus	
	VA	Norfolk Area	Hampton Roads Transit	Bus	
	WA	Seattle Area	Central Puget Sound Regional Transit Authority (Sound Transit)	Commuter Rail, Light Rail	
			King County Department of Transportation	Bus	
			Pierce County Public Transportation Benefit Area Corporation (Pierce Transit)	Bus	
			Snohomish County Transportation Benefit Area Corporation (Community Transit)	Bus	
	WI	Milwaukee Area	Milwaukee County Transit System	Bus	
				Total	**$100,000,000**

*The DC SAA will administer these funds.
**The IL SAA will administer these funds.
***The NY SAA will administer these funds.
****The PA SAA will administer these funds.
Note: "Other Rail" includes: 1) Automated Guideway (AG); and, 2) Cable Car (CC)

New Urban Areas and Transit Systems Eligible in FY 2007 for TSGP

PART II.
APPLICATION EVALUATION PROCESS

This section summarizes the roles and responsibilities within DHS for managing the TSGP, the overall timetable for the FY07 program, and core process and priorities that will be used to assess applications under the FY07 TSGP. The next section provides detailed information about specific application requirements and the process for submission of applications.

A. TSGP Program Management: Roles and Responsibilities at DHS.

Within DHS, the Transportation Security Administration (TSA) by law has the lead for managing the Department's security oversight and security programs for the transit industry. TSA provides transit system subject matter expertise within DHS and determines the primary security architecture for the TSGP program. Its subject matter experts have the lead in crafting all selection criteria associated with the application review process. TSA coordinates daily with the DHS Chief Intelligence Officer to review intelligence reporting and craft intelligence risk assessments related to the transportation sector. Led by a former large city transit executive, TSA's transit security staff has been augmented to increase its capabilities to participate both in the grant award phase and in the grant management phase.

The National Preparedness Directorate (NPD) within the Federal Emergency Management Agency (FEMA) (formerly the Office of Grants and Training) has the lead for designing and operating the administrative mechanisms needed to manage the Department's core grant programs, including this IPP grant program. In short, NPD is responsible for ensuring compliance with all relevant Federal grant management requirements and delivering the appropriate grant management tools, financial controls, audits and program management discipline needed to support the TSGP. While both TSA and NPD of necessity interface directly with our transit stakeholders, TSA will prioritize specific investments and set security priorities associated with the TSGP.

Effective management of the TSGP entails a partnership within DHS, the boundaries of which have been defined by DHS Secretary Chertoff. In order to make this partnership seamless to our external partners, upon award of a FY07 TSGP grant, two individuals will be identified for each transit agency who will serve as primary account managers -- one individual from TSA and one from FEMA/NPD. These two individuals will be assigned to be turnkey facilitators for our grant recipients. They will meet directly with grantees as needed, and will coordinate with each other routinely to facilitate support for the individual transit agencies in a given region. These individuals will be the one-stop TSGP account managers for our transit agency customers.

B. Overview -- Application Deadline and Review Process.

Completed Applications must be submitted to DHS via *grants.gov* (see below for details about this Federal grants application tool) *no later than 11:59 PM EST, August 29, 2007.*

Tier I regions must only submit an SF-424 for the regional allocation amount by August 29, 2007. DHS will work with the regions to develop formal projects and investment justifications that address the region's security needs, and are in alignment with Departmental priorities. Tier I systems will be required to submit the investment justifications developed with DHS 90 days after awards are made.

Tier II systems must submit an SF-424, a Training Cost Matrix and a fast-track training investment justification.

DHS will act on applications no later than September 30, 2007. The FY07 TSGP will use risk-based prioritization consistent with DHS policy outlined in this *TSGP Program Guidance and Application Kit.* The following process will be used to make awards under the program:

- DHS will verify compliance with each of the administrative and eligibility criteria identified in the application kit.
- Eligible Tier II training applications will be reviewed by TSA and FEMA/NPD, and then approved for funding.
- DHS will work with the Tier I transit systems to develop projects and investment justifications after the awards have been made.

Applicants must comply with all administrative requirements -- including Investment Justifications, budgets and application process requirements -- described herein.

C. Grant Application Support from DHS.

During the application and award periods, and in conjunction with industry associations, DHS will identify multiple opportunities for a cooperative dialogue between the Department and potential applicants. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY07 TSGP supplemental, and to help in submission of projects that will have the highest impact on reducing risks for the transit systems and their customers.

PART III.
PROGRAM REQUIREMENTS

This section provides detailed information about specific application requirements and the process for submission of applications.

A. General Program Requirements.

The applicable SAA's will be responsible for administration of the FY07 TSGP supplemental[5]. In administering the program, the SAA must work with the eligible transit system(s) to comply with the following general requirements:

1. **Grant funds.** The SAA must obligate at least 97 percent of the funds awarded to designated transit systems within 60 days of the receipt of funds[6].

2. **Management and Administration limits.** A maximum of 3 percent of funds awarded may be retained by the SAA, and any funds retained are to be used solely for management and administrative purposes associated with the TSGP supplemental award. In addition, transit agencies receiving pass-through funds may use up to 2.5 percent of their sub-award for management and administration purposes[7].

3. **Minimum project amounts**. There is no minimum amount for training projects that are submitted using the Training Cost Matrix. For Tier I, the minimum amount that may be requested for other projects focused on training and/or exercises is $50,000. The minimum amount that may be requested for all other projects is $250,000.

4. **Match requirement.** There is no match requirement for the FY07 supplemental funding to the TSGP, however, there is a 50% match required for the first 25% of award used for operational packages. In addition, the Department is considering up to a 20 percent match requirement for the FY08 TSGP, and transit agencies are encouraged to factor this into their planning for the next Federal fiscal year.

B. Application Requirements.

The following steps must be completed using the on-line *grants.gov* system to ensure a successful application submission:

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[5] As noted, Amtrak may apply for and receive a direct award.
[6] For purposes of the FY07 TSGP supplemental, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).
[7] Amtrak may retain a maximum of 3 percent of the funds awarded for management and administrative purposes associated with their TSGP supplemental award.

1. **Application via *grants.gov*.** DHS participates in the Administration's e-government initiative. As part of that initiative, all TSGP applicants must file their applications using the Administration's common electronic "storefront" -- *grants.gov*. Eligible SAAs must apply for funding through this portal, accessible on the Internet at *http://www.grants.gov*.

2. **Application deadline**. Completed Applications must be submitted to *grants.gov* no later than **11:59 PM EST, August 29, 2007**.

3. **Valid Central Contractor Registry (CCR) Registration**. The application process also involves an updated and current registration by the applicant and the applicant's Business Point of Contact through the CCR. Eligible applicants must confirm CCR registration at *http://www.ccr.gov*, as well as apply for FY07 IPP funding, including the FY07 supplemental funding to the TSGP, through *grants.gov* at *http://www.grants.gov*.

   While registration with *grants.gov* and the CCR is a one-time process, new applicants are strongly encouraged to complete their registrations at least ten (10) days prior to the August 29, 2007 application deadline.

4. **On-line application.** The on-line application must be completed and submitted using *grants.gov* after CCR registration is confirmed. The on-line application includes the following required forms and submissions:

   - Standard Form 424, Application for Federal Assistance
   - Standard Form 424B Assurances
   - Standard Form LLL, Disclosure of Lobbying Activities
   - Standard Form 424A, Budget Information
   - Certification Regarding Debarment, Suspension, and Other Responsibility Matters
   - Any additional Required Attachments

   The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "*Rail and Transit Security Grant Program.*" The CFDA number is 97.075. When completing the on-line application, applicants should identify their submissions as new, non-construction applications.

5. **Project period.** The project period will be for a period not to exceed 36 months.

6. **DUNS number**. The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within *grants.gov* and for CCR Registration. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505.

7. **Investment Justifications.** As part of the application process, applicants must develop an Investment Justification that addresses each initiative being proposed for funding. These Investment Justifications must demonstrate how each proposed project addresses gaps and deficiencies in current programs and capabilities. Additional details and templates for the Investment Justification may be found in Appendix 4.

   Tier II Investment Justifications must be submitted with the application by August 29, 2007. Tier I applicants must submit investment justifications 90 days after date of award. Formal projects and investment justifications will be developed collaboratively with DHS after the awards have been made.

8. **Detailed budget**. The Training Cost Matrix will serve as the detailed budget for Tier II training requests. The cost matrix must be submitted with the training investment justification by August 29, 2007. For Tier I applicants, budgets associated with proposed projects will be developed collaboratively with DHS as part of the cooperative agreement approach, and must be submitted with the Investment Justifications 90 days after date of awards. Additional details and templates for the Training Cost Matrix may be found in Appendix 5.

9. **Standard financial requirements.**

   9.1 -- Non-supplanting certification. This certification affirms that grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review, as well as in the pre-award review, post-award monitoring and any potential audits. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

   9.2 -- Assurances. Assurances forms (SF-424B and SF-424D) can be accessed at *http://apply.grants.gov/agency/FormLinks?family=7*. It is the responsibility of the recipient of the Federal funds to understand fully and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

   9.3 -- Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement. This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement);* 28 CFR part 69, *New Restrictions on Lobbying;* and 28 CFR part 83 *Government-wide Requirements for Drug-Free Workplace (Grants).* All of these can be referenced at: *http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html*.

9.4 -- Accounting System and Financial Capability Questionnaire. All nongovernmental (non-profit and commercial) organizations that apply for IPP funding that have not previously (or within the last three years) received funding from NPD must complete the Accounting System and Financial Capability Questionnaire. The form can be found at *http://www.ojp.usdoj.gov/oc*.

10. Technology requirements.

10.1 -- National Information Exchange Model. To support homeland security, public safety, and justice information sharing, NPD requires all grantees to use the latest National Information Exchange Model (NIEM) specifications and guidelines regarding the use of Extensible Markup Language (XML) for all IPP awards. Further information about the required use of NIEM specifications and guidelines is available at *http://www.niem.gov*.

10.2 -- Geospatial guidance. Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). State, local, and industry partners are increasingly incorporating geospatial technologies and data in an effort to prevent, protect against, respond to, and recover from terrorist activity and incidents of national significance. DHS encourages grantees to align geospatial activities with the guidance available on the NPD website at *http://www.ojp.usdoj.gov/odp/grants_hsgp.htm*.

11. Administrative requirements.

11.1 -- Freedom of Information Act (FOIA). DHS recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 5. U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the DHS FOIA Office, and may likely fall within one or more of the available exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. The applicant may also consult NPD regarding concerns or questions about the release of information under state and local laws. The grantee should be familiar with the regulations governing Protected Critical Infrastructure Information (6 CFR Part 29) and Sensitive Security Information (49 CFR Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

11.2 -- Protected Critical Infrastructure Information (PCII). The PCII Program, established pursuant to the Critical Infrastructure Information Act of 2002 (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector voluntarily to submit sensitive information regarding critical infrastructure to DHS. The Act also provides statutory protection for voluntarily shared CII from public disclosure and civil litigation. If validated as PCII, these documents can only be shared with authorized users who agree to safeguard the information.

PCII accreditation is formal recognition that the covered government entity has the capacity and capability to receive and store PCII. DHS encourages all SAAs to pursue PCII accreditation to cover their state government and attending local government agencies. Accreditation activities include signing an MOA with DHS, appointing a PCII Officer, and implementing a self-inspection program. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at *pcii-info@dhs.gov*.

11.3 -- Compliance with Federal civil rights laws and regulations. The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- *Title VI of the Civil Rights Act of 1964, as amended, 42. U.S.C. 2000 et. seq.* – no person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance. More information can be found at: *http://usinfo.state.gov/usa/infousa/laws/majorlaw/civilr19.htm*.

- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance. More information can be found at: *http://www.section508.gov/index.cfm?FuseAction=Content&ID=15*.

- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* –discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance. More information can be found at: *http://www.usdoj.gov/crt/cor/coord/titleix.htm*.

- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – no person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of or subjected to discrimination under any program or activity receiving Federal financial assistance.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required, to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

11.4 -- Services to limited English proficient (LEP) persons. Recipients of DHS financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, see *http://www.lep.gov*.

11.5 -- Integrating individuals with disabilities into emergency planning. Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" and signed in July 2004, requires the Federal government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Consequently, Federal agencies are required to: (1) encourage consideration of the needs of persons with disabilities in emergency preparedness planning; and (2) facilitate cooperation among Federal, state, local, and tribal governments, private organizations, non-governmental organizations, and the general public in the implementation of emergency preparedness plans as they relate to individuals with disabilities.

Further information can be found at the Disability and Emergency Preparedness Resource Center at *http://www.dhs.gov/disabilitypreparedness*.

11.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts. In accordance with the FY07 DHS Appropriations Act, all FY07 grant funds must comply with the following two requirements:

- None of the funds made available through the IPP shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et seq), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).

- None of the funds made available through the IPP shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

11.7 -- National Environmental Policy Act (NEPA). NEPA requires DHS to analyze the possible environmental impacts of each construction project funded by a DHS grant. The purpose of a NEPA review is to weigh the impact of major Federal actions or actions undertaken using Federal funds on adjacent communities, water supplies, historical buildings, endangered species, or culturally sensitive areas prior to construction. Grantees may be required to provide additional detailed information on the activities to be conducted, locations, sites, possible construction activities, possible alternatives, and any environmental concerns that may exist. Results of the NEPA Compliance Review could result in a project not being approved for DHS funding, the need to perform an Environmental Assessment or draft an Environmental Impact Statement.

C. Transit Application Checklist.

All TSGP applicants must complete the following:

1. **SF-424 Grant application with certifications (through *grants.gov*)**
   - Non-supplanting certification
   - Assurances
   - Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement

2. **DUNS number (through *grants.gov* form)**

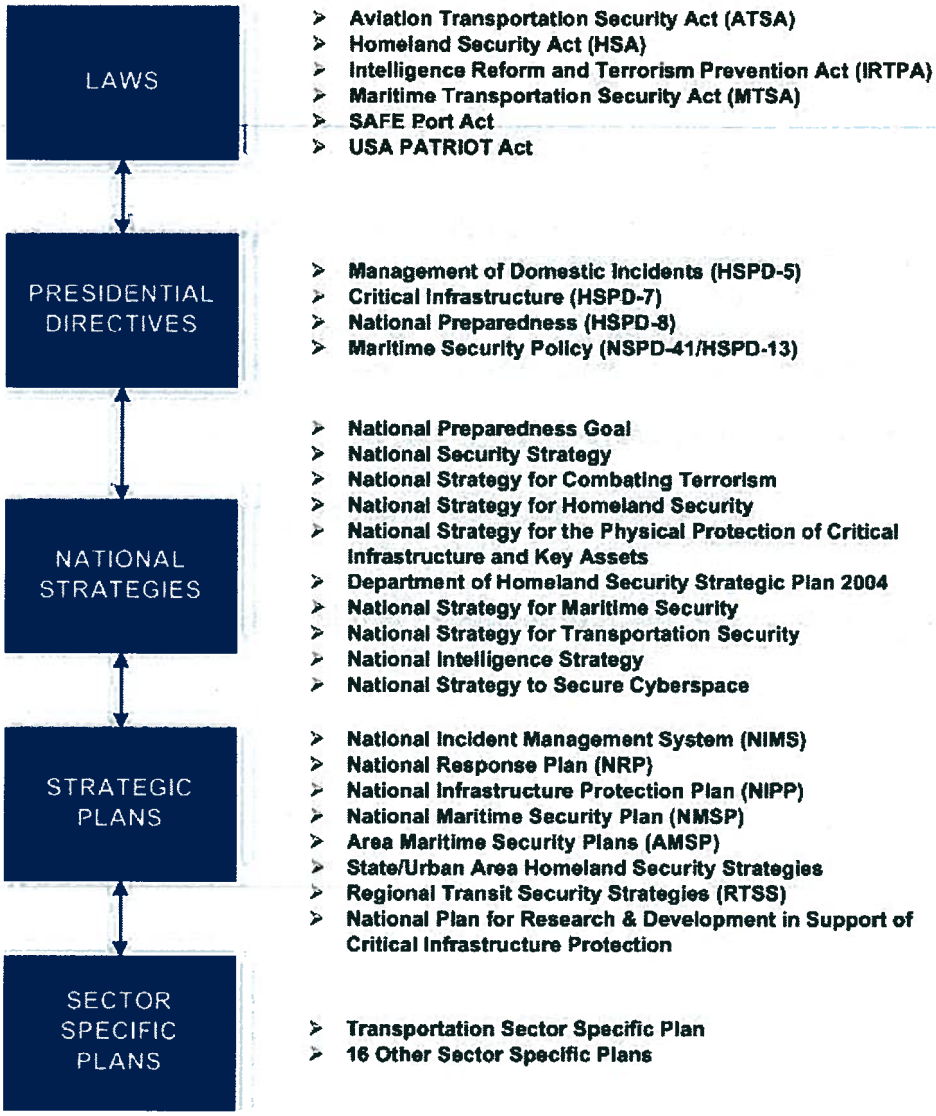
3. **Investment Justification (through *grants.gov* file attachment)**
   - See Appendix 4.

4. **Detailed Budget (through *grants.gov* file attachment)**
   - See Appendix 5

Appendix 1
Alignment of IPP with the National Preparedness Architecture

Figure 1, below, graphically summarizes key elements of the national preparedness architecture. The Infrastructure Protection Program seeks maximum alignment with this architecture.

Figure 1.
Laws, Strategy Documents, Directives and Plans That Impact the Infrastructure Protection Program



Appendix 2
TSGP Supplemental Allowable Expenses

A. Overview.

FY07 TSGP supplemental allowable costs are divided into the following six categories:

1. Planning
2. Operational Packages
3. Equipment acquisitions
4. Training
5. Exercises
6. Management and administration

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

1. Planning Costs. FY07 TSGP funds may be used for the following types of planning activities:

- Public education and outreach (such as reproduction of Transit Watch materials). Where possible, such activities should be coordinated with local Citizen Corps Council(s).
- Public alerts and warning systems and security education efforts.
- Development and implementation of homeland security support programs and adoption of ongoing DHS national initiatives (including, for example, building or enhancing preventive radiological and nuclear detection programs).
- 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.
- Travel and per diem related to professional planning activities.
- Other project planning activities with prior approval from DHS.

2. Operational Packages. As a complement the FY 2007 Supplemental Appropriations Bill, DHS has developed additional funding possibilities for Tier I transit systems. Five operational packages (OPacks) are available for funding to Tier I transit systems that have a dedicated transit security/police force, a transit security operations dispatch center, and a daily unlinked ridership of 200,000 or greater. Tier I transit systems that meet the eligibility requirements can apply for funding to support one or more of the five OPacks. DHS considers OPacks to be effective tactics for supporting the FY 2007 Transit Security priorities.

DHS encourages transit systems to develop innovative layered approaches to enhance both the human and facility security on transit systems. Helping mass transit systems increase randomness, unpredictability, and ultimate effectiveness of monitoring and patrol in their security and terrorism prevention programs is critical to National transit security. To support this, applicants may explore the implementation of one or more of the five OPack modules. It is expected that OPack modules will be applied to address the Transit Security priorities. The following OPacks complement existing security systems and provide appropriate, practical, and cost-effective means of protecting assets.

A. Explosives Detection Canine Teams
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. Explosives Detection Canine Teams are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. Canine teams also provide the added psychological deterrent achieved solely through their presence. Such operational efficiency can not be obtained through borrowed use of local police force-operated canine teams, as the needs of the local jurisdiction will always be their first priority. Therefore, the TSGP will provide funds to establish dedicated transit 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.

B. Visible Intermodal Protection and Response (VIPR) Teams
The VIPR capability provided through the OPack program will offer TSGP funding for dedicated transit VIPR capability on a regular basis, rather than using VIPR teams for the surge capacity provided by DHS in the past. The VIPR initiative aligns with DHS's risk-based strategy in confronting terrorist threats to potentially vulnerable public transit systems. VIPR teams do not supersede other local transit security forces; rather, they augment current capabilities with the unique strengths and expertise leveraged through the specialized skill sets possessed by each individual within the VIPR team. Each VIPR team will consist of four individuals, including an overt element (one uniformed transit sector law enforcement officer), two discreet observer elements, and one canine team[1] (one dog and one handler each). 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.

C. Bomb Response Liaison Officer
Grant funds may be used towards hiring a dedicated bomb response liaison officer to work with local and regional bomb squads. This individual has three primary responsibilities: 1) Acting as a planning and operational liaison as the planning and

operational interface between transit security and responding bomb squads; 2) Providing training and conducting practical exercises for transit security teams; and 3) Developing IED recognition and response training and procedures for the respective transit system.

D. Intelligence Analysts
Grant funds may be used towards hiring and supporting new staff and/or contractors to serve as dedicated transit Intelligence Analysts to support information/intelligence fusion capabilities. In a transit system, the focus of an Intelligence Analyst is to sort, analyze, and relay qualified intelligence on threats and suspects to operational units in a timely fashion. The coordination between the analyst and the response teams is critical to the successful response to threats and/or incidents. Under the OPack, the Intelligence Analyst provides the perfect complement to canine teams, VIPR Teams, and Bomb Response Liaison Officers.

E. Mobile Explosive Screening Team
The Mobile Explosive Screening Team OPack will allow transit systems the flexibility to deploy combinations of trained individuals and technologies that will assist in making screening decisions where there are large numbers of individuals with hand carried items. This screening technology will be coupled with mobile explosive screening technologies to resolve the problem of screening a large number of items and individuals.

Emergent National Priorities
In addition to addressing the Transit Security Fundamentals, there may be opportunities to apply these resources against other emergent National priorities in response to specific threat streams or incidents. These temporary efforts may range from planned regional responses to unexpected National responses. While it is expected that these OPack resources will be available, each possible deployment will be addressed with the individual transit system or police department to ensure that fiscal and legal issues have been satisfactorily addressed. Contingency planning on the local, regional and National level is strongly encouraged.

Funding Availability for OPacks

OPacks will be funded for a 36 month period to cover the TSGP grant period of performance. The monetary figures presented below are stated in terms of cost per period of performance (which indicates actual/complete funding for the 36 month period). Additionally, any OPack costs after the 36 month period of performance (including expenses related to the maintenance, personnel, equipment, etc.) are the responsibility of the transit system.

Table 3. Available Funding for OPacks

	Operational Package	Funding per Year (12 months)	Funding per Period of Performance (36 months)
1.	Explosives Detection Canine Teams	$150,000 per team	$450,000 per team
2.	Visible Intermodal Protection and Response (VIPR) Teams	$500,000 per team	$1,500,000 per team
3.	Bomb Response Liaison Officer	$98,500 per officer	$295,500 per officer
4.	Intelligence Analysts	$120,000 per analyst	$360,000 per analyst
5.	Mobile Explosive Screening Team	$600,000 per team	$1,800,000 per team

Note: OPack modules have the potential to complement each other; therefore, applicants are encouraged to apply for multiple OPack modules, combining resources to enhance security capabilities. For example, an Intelligence Analyst has a greater effect when used in conjunction with an active VIPR Team and/or Mobile Explosive Screening Team and/or an Explosives Detection Canine Team.

OPack Requirements

TSGP OPack funds may only be used for new capabilities/programs and cannot be used to pay for existing capabilities/programs (e.g. canine teams) already supported by the transit system. Non-supplanting restrictions apply.

Table 4. OPack Requirements

OPacks	Requirements
1. Explosives Detection Canine Team	• Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization • Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification • The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program, the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement [8]) • Certifications should be on file with the SAA and must be made available to DHS upon request.

[8] Training and certification information can be found at: http://www.tsa.gov/lawenforcement/programs, http://www.npca.net, http://www.uspcak9.com, and http://www.bombdog.org.

OPacks	Requirements

2. VIPR Team	• Specific for the Canine Team within the VIPR Team:[9]
	  • Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization
	  • Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification
	  • The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program, the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement. [10]
	• The individuals hired for the covert and over elements must be properly trained law enforcement officers
	• Certifications should be on file with the SAA and must be made available to DHS upon request.

3. Bomb Response Liaison Officer	• The individual hired for the position must:
	  ▪ Be a former civilian Bomb Squad or military Explosive Ordnance Disposal (EOD) team member,
	  ▪ Be a graduate of the Federal Bureau of Investigation's Hazardous Devices School or the Naval School Explosive Ordnance Disposal (the military joint service EOD school), and
	  ▪ Have served as a member of an operational military EOD unit or civilian bomb squad.
	  ▪ Certifications should be on file with the SAA and must be made available to DHS upon request.

4. Intelligence Analyst	• In order to be hired as an Intelligence Analyst, staff and/or contractor personnel must have successfully completed training to ensure baseline proficiency in intelligence analysis and production
	• Successful completion of the following courses satisfies the Intelligence Analyst training requirement:
	  ▪ Certification by the Federal Law Enforcement Training Center (FLETC)
	  ▪ Foundations of Intelligence Analysis Training (International Association of Law Enforcement Intelligence Analysts (IALEIA))
	• Certifications should be on file with the SAA and must be made available to DHS upon request.

[9] While a VIPR Team contains a canine component, agencies may deploy the canine teams independently when needed

[10] Training and certification information can be found at : http://www.tsa.gov/lawenforcement/programs, http://www.npca.net, http://uspcak9.com, and http://www.bombdog.org

OPacks	Requirements
5. Mobile Explosives Screening Team	Certifications should be on file with the SAA and must be made available to DHS upon request.

Allowable Expenses for Opacks

Table 4 identifies allowable expenses for the various OPacks. Please see the inserted footnotes for clarification of certain allowable costs.

Table 5. Allowable Expenses for OPacks

OPacks	Hiring Costs	Salary and Fringe Benefits [11]	Training and Certification [12]	Equipment Costs	Purchase and Train a Canine	Canine Costs [13]
1. Explosives Detection Canine Team		✔	✔	✔	✔ [14]	✔
2. VIPR		✔	✔	✔	✔	✔
3. Bomb Response Liaison Officer		✔	✔ [15]			
4. Intelligence Analyst	✔	✔		✔		
5. Mobile Explosives Screening Team		✔		✔ [16]		

3. Equipment Acquisition Costs. FY07 TSGP funds may be used for the following categories of equipment. A comprehensive listing of allowable equipment categories and types is found on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) at http://www.rkb.mipt.org/ael.cfm. These costs include:

- Personal protection equipment
- Explosive device mitigation and remediation equipment
- CBRNE operational search and rescue equipment, logistical support equipment, reference materials or incident response vehicles, including response watercraft
- Information technology

[11] Salary and fringe benefits to be covered for the period of performance (30 months, starting from the data of award)
[12] Travel costs associated with training for personnel, handlers, and canines are allowable
[13] Canine costs include but are not limited to: veterinary, housing, and feeding costs
[14] Training specific to the detection of common explosives odors is allowable
[15] Bomb Response Liaison Officer allowable training costs are limited to:
a. Attendance of the regional and/or annual International Association of Bomb Technicians and Investigators (IABTI) [including travel costs]
b. In-Service training aids, supplies, and uniforms
[16] 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

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

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

A list of applicable standards is found at the following website: *http://rkb.mipt.org*. DHS adopted standards are found at *http://www.dhs.gov/xfrstresp/standards/ editorial_0420.shtm*.

4. Training Costs. FY07 TSGP 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.

- **Certain full or part-time staff and contractors or consultants.** Full or part-time staff may be hired to support training-related activities. The services of contractors or consultants may also be procured by the State in the design, development, conduct and evaluation of CBRNE training. The applicant's formal written procurement policy or the Federal Acquisition Regulations must be followed.

- **Overtime and backfill costs.** Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that it is DHS approved training. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single

period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act, Workers' Compensation and Unemployment Compensation.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending DHS-approved courses or DHS-sponsored technical assistance programs. These costs must be in accordance with state law as highlighted in the Office of Grant Operations (OGO) *Financial Management Guide*. For further information on Federal law pertaining to travel costs please refer to the OGO *Financial Management Guide*, available at: *http://www.dhs.gov/xlibrary/assets/Grants_FinancialManagementGuide.pdf*.

- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).

- **Other items.** These costs may include the rental of space/locations for planning and conducting training, badges, and similar materials.

5. **Exercise Costs.** FY07 TSGP funds may be used for the following exercise activities:

- **Exercise planning workshop.** Grant funds may be used to plan and conduct an exercise planning workshop, to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.

- **Certain full or part-time staff and contractors or consultants.** Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the state or the awarding agency, whichever is applicable. The services of contractors or consultants may also be procured to support the design, development, conduct and evaluation of CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations must be followed.

- **Overtime and backfill costs.** Overtime and backfill costs associated with the design, development and conduct of CBRNE exercises are allowable expenses. Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is a DHS sponsored exercise. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to the Federal

Insurance Contributions Act, Workers' Compensation and Unemployment Compensation.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s). These costs must be in accordance with state law as highlighted in the OGO *Financial Management Guide*. States must also follow state regulations regarding travel. If a state or territory does not have a travel policy they must follow Federal guidelines and rates, as explained in the OGO *Financial Management Guide*. For further information on Federal law pertaining to travel costs please refer to: *http://www.dhs.gov/xlibrary/assets/Grants_FinancialManagementGuide.pdf*.

- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).

- **Other Items.** These costs may include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.

6. Management and Administration (M&A) costs. FY07 TSGP 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 FY07 TSGP or the design, requirements, and implementation of the TSGP.

- Hiring of full-time or part-time staff, contractors or consultants and M&A expenses related to pre-application submission management activities and application requirements or meeting compliance with reporting/data collection requirements, including data calls.

- Development of operating plans for information collection and processing necessary to respond to DHS/NPD data calls.

- Travel expenses.

- Meeting-related expenses (For a complete list of allowable meeting-related expenses, please review the OGO *Financial Management Guide* at: *http://www.dhs.gov/xlibrary/assets/Grants_FinancialManagementGuide.pdf* .

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

B. Unallowable Costs.

Specific unallowable costs include:

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for

allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition

- Personnel costs (except as detailed above)
- Activities unrelated to the completion and implementation of the TSGP
- Other items not in accordance with the AEL or previously listed as allowable costs

Appendix 3
Grants.Gov Quick-Start Instructions

DHS participates in the e-government initiative. As part of that initiative, all IPP applicants must file their applications using the Administration's common electronic "storefront" -- *grants.gov*. Eligible SAAs must apply for funding through this portal, accessible on the Internet at *http://www.grants.gov*.

Application attachments submitted via *grants.gov* must be in one of the following formats: Microsoft Word (*.doc), PDF (*.pdf), or text (*.txt). Use the Catalog of Federal Domestic Assistance (CFDA) number listed in the relevant program guidance section of this document in *grants.gov*.

This Appendix is intended to provide guidance on the various steps and activities associated with filing an application using *grants.gov.*

Step 1: Registering.

Registering with *grants.gov* is a one-time process; however, if you are a first time registrant **it could take 3-5 business days to have your registration validated, confirmed, and receive your user name and password**. It is highly recommended you start the registration process as early as possible to prevent delays in submitting your application package to our agency by the deadline specified. While your registration is pending, you may continue with Steps 2, 3, and 4 of these instructions. Registration must be complete for you to be able to submit (step 5) and track (step 6) an application.

1. Establishing an e-business point of contact. *Grants.gov* requires an organization to first be registered in the Central Contractor Registry (CCR) before beginning the *grants.gov* registration process. If you plan to authorize representatives of your organization to submit grant applications through *grants.gov*, proceed with the following steps. If you plan to submit a grant application yourself and sign grant applications and provide the required certifications and/or assurances necessary to fulfill the requirements of the application process, proceed to DUNS Number and then skip to the Authorized Organization Representative and Individuals section.

Go to *www.grants.gov*, and click on the "Get Started" tab at the top of the screen.

- Click the "e-Business Point of Contact" option and click the "GO" button on the bottom right of the screen. If you have already registered with *grants.gov*, you may log in and update your profile from this screen.

- To begin the registration process, click the "Register your Organization [Required]" or "Complete Registration Process [Required]" links. You may print a registration checklist by accessing *www.grants.gov/assets/OrganizationRegCheck.pdf*.

2. DUNS number. You must first request a Data Universal Numbering System (DUNS) number. Click "Step 1. Request a DUNS Number." If you are applying as an individual, please skip to "Authorized Organization Representative and Individuals." If you are applying on behalf

of an organization that already has a DUNS number, please proceed to "Step 2. Register with Central Contractor Registry (CCR)." You may obtain a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1–866–705–5711.

3. Central Contractor Registry. Registering with the CCR, updating or changing your profile could take **up to five to seven business days** to be confirmed and validated. This delay could prevent your application from being submitted by the deadline specified, so you should register or make changes to your profile as early in the process as possible.

Once you have a DUNS number, click on "Step 2. Register with Central Contractor Registry (CCR)." Here you are required to designate an individual as a point of contact. This point of contact is the sole authority for the organization and has the capability of issuing or revoking another individual's authority to submit grant applications through *grants.gov*.

A registration worksheet is provided to assist in the CCR registration process at *http://www.ccr.gov*. It is recommended you review the "Tips for registering with the CCR" at the bottom of this template.

- Go to *http://www.ccr.gov* or click on the CCR icon in the middle of the screen to begin the registration process. To see if your organization is already registered, click "Search CCR" at the top left side of the screen. Search entries must be exact to accurately search the database. If your organization is already registered, you can scroll down and see who the e-Business point of contact is for your agency. If your organization is not already registered, return to the CCR home page and click "Start New Registration" at the top left of the screen.

- If you have problems or questions about the CCR registration process, please contact the CCR Assistance Center at 1–888–227–2423.

- Once your registration is complete, you will receive an e-mail with a Trading Partner Identification Number (TPIN) and Marketing Partner Identification Number (MPIN) number. You will need the MPIN number to register with *grants.gov*. If your organization is already registered with the CCR, you will need to obtain the MPIN number from your e-Business POC.

4. Authorize your Organization Representative. Click "Step 3. Authorize your Organization Representative." Follow steps 1-4. You will need your DUNS + 4 digit numbers and the MPIN number CCR e-mailed to you.

5. Log in as e-Business Point of Contact. You may now go to "Step 4. Log in as e-Business Point of Contact." Here you may authorize or revoke the authority of the Authorized Organization Representative. Once you are logged in, go to "Step 2. Downloading the Application Viewer", below.

6. Authorized Organization Representative and Individuals. If you plan to submit a grant application as an individual or an Authorized Organization Representative, with authority to sign grant applications and the required certifications and/or assurances necessary to fulfill the requirements of the application process, proceed with the following steps:

- Go to *www.grants.gov* and click on the "Get Started" tab at the top of the screen.

- Click the "Authorized Organization Representative (AOR)" option and click the "GO" button to the bottom right of the screen. If you are applying as an individual, click the "Individuals" option and click the "GO" button to the bottom right of the screen.

- If you have previously registered as an AOR, you may start searching for this grant opportunity from this page. Otherwise, you must complete the first-time registration by clicking "Complete First-Time Registration [Required]." You also may click on "Review Registration Checklist" and print a checklist for the following steps (see *www.grants.gov/assets/AORRegCheck.pdf*).

- Individuals may click the "registration checklist" for help in walking through the registration process.

7. Credential Provider. Once you have entered the registration process, you must register with the credential provider, to safeguard the security of your electronic information. You must have your agencies or individual DUNS + 4 digit number to complete this process. Now, click on "Step 1. Register with a Credential Provider." Enter your DUNS number and click "Register." Once you have entered the required information, click the "Submit" button.

If you should need help with this process, please contact the Credential Provider Customer Service at 1–800–386–6820. It can take up to 24 hours for your credential provider information to synchronize with *grants.gov*. Attempting to register with *grants.gov* before the synchronization is complete may be unsuccessful.

8. *Grants.gov.* After completing the credential provider steps above, click "Step 2. Register with *grants.gov*." Enter the same user name and password used when registering with the credential provider. You will then be asked to provide identifying information and your organization's DUNS number. After you have completed the registration process, *grants.gov* will notify the e-Business POC for assignment of user privileges.

Complete the "Authorized Organization Representative User Profile" screen and click "Submit." *Note:* Individuals do not need to continue to the "Organizational Approval" step below.

9. Organizational Approval. Prior to submitting a grant application package, you must receive approval to submit on behalf of your organization. This requirement prevents individuals from submitting grant application packages without permission. A notice is automatically sent to your organization's e-Business POC. Then, your e-Business POC approves your request to become an AOR. You may go *to* *http://www.ccr.gov* to search for your organization and retrieve your e-Business POC contact information. Once organization approval is complete, you will be able to submit an application and track its status.

Step 2: Downloading the Application Viewer.

You may download the PureEdge Viewer while your registration is in process. You also may download and start completing the application forms in steps 3 and 4 below. This application viewer opens the application package needed to fill out the required forms. The download process can be lengthy if you are accessing the Internet using a dial-up connection.

- From the *grants.gov* home page, select the "Apply for Grants" tab at the top of the screen.

- Under "Apply Step 1: Download a Grant Application Package and Applications Instructions," click the link for the PureEdge Viewer (*http://www.grants.gov/DownloadViewer*). This window includes information about computer system requirements and instructions for downloading and installation.

If you are a Macintosh user, please read the PureEdge Support for Macintosh white paper available at
www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf.

- Scroll down and click on the link to download the PureEdge Viewer (*www.grants.gov/PEViewer/ICSViewer602_grants.exe*).

- You will be prompted to save the application. Click the "Save" button and the "Save As" window opens. Select the location where you would like to save PureEdge Viewer and click the "Save" button.

- A window appears to show the progress of the download. When the downloading is complete, click to close the dialog box.

- To install the PureEdge Viewer, locate the file on your computer and click to open it. When you are prompted to run the file, click "RUN." Click "Yes" to the prompt to continue with the installation. The ICS InstallShield Wizard extracts the necessary files and takes you to the "Welcome" page.

- Click "Next" to continue.

- Read the license agreement and click "Yes" to accept the agreement and continue the installation process. This takes you to the "Customer Information" screen.

- Enter a User Name and a Company Name in the designated fields and click "Next."

- The "Choose Destination Location" window prompts you to select the folder in which PureEdge Viewer will be installed. To save the program in the default folder, click "Next." To select a different folder, click "Browse." Select the folder in which you would like to save the program, click on "OK," and then click "Next."

- The next window prompts you to select a program folder. To save program icons in the default folder, click "Next." To select a different program folder, type a new folder name or select one from the list of existing folders, then click "Next." Installation will begin.

- When installation is complete, the "InstallShield Wizard Complete" screen will appear. Click "Finish." This will launch the "ICS Viewer Help Information" window. Review the information and close the window.

Step 3: Downloading an Application Package.

Once you have downloaded the PureEdge Viewer, you may download and view this application package and solicitation instructions.

- From the *grants.gov* home page, select the "Apply for Grants" tab at the top of the screen.

- Click "Apply Step 1: Download a Grant Application Package and Application Instructions."

- Enter the CFDA number for this announcement, 97.075. Then click "Download Package." This will take you to the "Selected Grants Application for Download" results page.

- To download an application package and its instructions, click the corresponding download link below the "Instructions and Application" column.

- Once you select a grant application, you will be taken to a "Download Opportunity Instructions and Application" screen to confirm that you are downloading the correct application. If you would like to be notified of any changes to this funding opportunity, enter your e-mail address in the corresponding field, then click the "Submit" button.

- After verifying that you have downloaded the correct opportunity information, click the "Download Application Instructions" button. This will open a PDF of this grant solicitation. You may print the solicitation or save it to your computer by clicking either the print icon at the top tool bar or the "File" button on the top tool bar. If you choose to save the file, click on "Save As" and save to the location of your choice.

- Click the "Back" Navigation button to return to the "Download Opportunity Instructions and Application" page. Click the "Download Application Package" button. The application package will open in the PureEdge Viewer.

- Click the "Save" button to save the package on your computer. Because the form is not yet complete, you will see a prompt that one or more fields may be invalid. You will complete these fields in step 4, but for now, select "Yes" to continue. After you click "Yes," the "Save Form" window will open.

- Save the application package to your desktop until after submission. Select a name and enter it in the "Application Filing Name" field. Once you have submitted the application through *grants.gov*, you may then move your completed application package to the file location of your choice.

- Click the "Save" button. If you choose, you may now close your Internet browser and complete your application package offline by double clicking the icon on your desktop. You do not have to be connected to the Internet to complete the application package in Step 4, below.

Step 4: Completing the Application Package.

This application can be completed entirely offline; however, you will need to log in to *grants.gov* to submit the application in Step 5.

- Locate the application package you saved on your computer. When you open the package, it will be in PureEdge Viewer. You may save your application at any time by clicking on the "Save" button at the top of the screen.

- Enter a name for your application package in the "Application Filing Name" field. This can be a name of your choice.

- Open and complete all the mandatory and optional forms or documents. To complete a form, click to select the form, and then click the "Open" button. When you open a required form, the mandatory fields will be highlighted in yellow. If you enter incomplete information in a mandatory field, you will receive an error message or the field will turn red, indicating a change needs to be made.

- Mandatory forms include the: (1) Application for Federal Assistance (SF-424); (2) Assurances for Non-Construction Programs (SF-424B); and (3) Disclosure of Lobbying Activities (SF-LLL). These forms can also be viewed at *http://apply.grants.gov/agency/FormLinks?family=7*. Other mandatory forms are identified in Section IV.

- When you have completed a form or document, click the "Close Form" button at the top of the page. Your information will automatically be saved.

- Next, click to select the document in the left box entitled "Mandatory Documents." Click the "=>" button to move the form or document to the "Mandatory Completed Documents for Submission" box to the right.

- Some mandatory documents will require you to upload files from your computer. To attach a document, select the corresponding form and click "Open." Click the "Add Mandatory Attachment" button to the left. The "Attach File" box will open. Browse your computer to find where your file is located and click "Open." The name of that file will appear in the yellow field. Once this is complete, if you would like to attach additional files, click on the "Add Optional Attachment" button below the "Add Mandatory Attachment" button.

- An "Attachments" window will open. Click the "Attach" button. Locate the file on your computer that you would like to attach and click the "Open" button. You will return to the "Attach" window. Continue this process until you have attached all the necessary documents. You may attach as many documents as necessary.

- Once you have finished, click the "Done" button. The box next to the "Attach at Least One Optional Other Attachment" will now appear as checked.

- *Note:* the name of these buttons will vary depending on the name of the form you have opened at that time; i.e., Budget Narrative, Other Attachment, and Project Narrative File.

- To exit a form, click the "Close" button. Your information will automatically be saved.

Step 5: Submitting the Application.

Once you have completed all the yellow fields on all the forms and saved the application on your desktop, check the application package for errors. This can be done any time throughout step 4 above and as often as you like.

- When you are ready to submit your final application package, the "Submit" button at the top of your screen will be enabled. This button will not be activated unless all mandatory data fields have been completed. When you are ready to submit your application, click on "Submit." This will take you to a "Summary" screen.

- If your "Submit" button is not activated, then click the "Check Package for Errors" button at the top of the "Grant Application Package" screen. PureEdge Viewer will start with the first form and scan all the yellow fields to make sure they are complete. The program will prompt you to fix one error at a time as it goes through the scan. Once there are no more errors, the system will allow you to submit your application to *grants.gov.*

- Review the application summary. If you wish to make changes at this time, click "Exit Application" to return to the application package, where you can make changes to the forms. To submit the application, click the "Sign and Submit Application" button.

- This will take you to a "Login" screen where you will need to enter the user name and password that you used to register with *grants.gov* in "Step 1: Registering." Enter your user name and password in the corresponding fields and click "Login."

- Once authentication is complete, your application will be submitted. Print this confirmation screen for your records. You will receive an e-mail message to confirm that the application has been successfully uploaded into Grants.gov. The confirmation e-mail will give you a *grants.gov* tracking number, which you will need to track the status of your application. The confirmation e-mail will go to the e-Business POC; therefore, if you are submitting on behalf of someone else, be sure the e-Business POC is aware of the submission and that a confirmation e-mail will be sent.

- When finished, click the "Close" button.

Step 6: Tracking the Application.

After your application is submitted, you may track its status through *grants.gov*. To do this, go to the *grants.gov* home page at *http://www.grants.gov*. At the very top of the screen, click on the "Applicants" link. Scroll down the "For Applicants" page and click the "Login Here" button. Proceed to login with your user name and password that was used to submit your application package. Click the "Check Application Status" link to the top left of the screen. A list of all the applications you have submitted through *grants.gov* is produced. There four status messages your application can receive in the system:

- **Validated.** This means your application has been scanned for errors. If no errors were found, it validates that your application has successfully been submitted to *grants.gov* and is ready for the agency to download your application.

- **Received by Agency.** This means DHS downloaded your application into our electronic Grants Management System and your application is going through our validation process to be successfully received on our end.

- **Agency Tracking Number Assigned.** This means DHS did not find any errors with your package and successfully downloaded your application into our system.

- **Rejected With Errors.** This means your application was either rejected by *grants.gov* or GMS due to errors. You will receive an e-mail from *grants.gov* customer support, providing details of the results and the next steps required. Most applications are rejected because: (1) a virus was detected; (2) you are using a user name and password that has not yet been authorized by the organization's e-Business POC; or (3) the DUNS number you entered on the SF-424 form does not match the DUNS number that was registered in the CCR for this organization.

If you experience difficulties at any point during this process, please call the *grants.gov* customer support hotline at 1–800–518–4726.

Appendix 4
Investment Justification

A. Investment Justification Overview.

As part of the FY07 TSGP supplemental application process, eligible applicants must develop an Investment Justification that addresses each initiative being proposed for funding. These Investment Justifications must demonstrate how the proposed projects address gaps and deficiencies in current programs and capabilities.

The format below should be followed for these file attachments.

B. Investment Justification Template.

TSGP applicants must provide information in the following categories for each proposed investment:

1. Background;
2. Strategic and Program Priorities;
3. Impact;
4. Funding/Implementation Plan.

For fast track training investments, TSGP applicants must provide information for the following questions only:

- Investment Heading
- I.A: Identify the transit agency and that agency's point(s) of contact for this investment.
- I.B: Describe the operating system for the transit agency undertaking this investment.
- I.C: Discuss current and required capabilities of the transit agency undertaking this investment (as related to employee security training).
- I.D: Provide a brief abstract for this investment.
- III.B: Discuss how the implementation of this investment will decrease or mitigate risk.
- IV.A: Investment Funding Plan
- IV.E: Provide a high-level timeline, milestones and dates, for the implementation of this investment.

Investment Heading	
State	
Urban Area	
Investment Name	
Investment Phase	
Is this a Multi-State investment? If yes, which States?	
Investment Amount	$

I. Background

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

I.A. Identify the transit agency and that agency's point(s) of contact for this investment.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	For the transit agency (or lead agency) undertaking the investment, identify the following: • Point of contact's (POC) name and title; • POC's full mailing address; • POC's telephone number; • POC's fax number; • POC's email address; and, • Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.
Response:	

I.B. Describe the operating system for the transit agency undertaking this investment.	
Response Type	Narrative
Page Limit	Not to exceed 2 pages
Response Instructions	For the transit agency (or lead agency) undertaking this investment, describe the following: • Infrastructure; • Ridership data; • Number of passenger miles; • Number of vehicles; • Types of service and other important features; • System map; • Geographical borders of the system and the cities and counties served; and, • Other sources of funding being leveraged for security enhancements.
Response	

I.C. Discuss current and required capabilities of the transit agency undertaking this investment.	
Response Type	Narrative
Page Limit	Not to exceed 1 page

Response Instructions	For the transit agency undertaking this investment, describe the following:
	• Discuss the transit agency's *current* efforts to protect any underwater tunnel infrastructure from attacks involving IEDs:
	  ○ Specific attention should be paid to any enhancements achieved as a result of FY05/06 TSGP funding;
	• Discuss the transit agency's *current* prevention, detection and response capabilities relative to IEDs and CBRN devices generally:
	  ○ Specific attention should be paid to any enhancements in these capabilities achieved as a result of FY05/06 TSGP funding;
	• Discuss the transit agency's *current* visible and unpredictable deterrent efforts:
	  ○ Specific attention should be paid to any enhancements in these efforts achieved as a result of FY05/06 TSGP funding;
	• Discuss the transit agency's *current* additional high consequence risk mitigation efforts, visible and unpredictable deterrent efforts, training programs for employees, emergency drills and citizen awareness activities:
	  ○ Specific attention should be paid to any enhancements in these capabilities achieved as a result of FY05/06 TSGP funding;
	• Discuss the transit agency's *requirements* relative to protection of any underwater tunnel infrastructure from attacks involving IEDs;
	• Discuss the transit agency's *required* prevention, detection and response capabilities relative to IEDs and CBRN devices (including sensors, canine units, etc.);
	• Discuss the transit agency's *required* visible/unpredictable deterrent needs; and,
	• Discuss the transit agency's *required* high consequence risk mitigation needs, anti-terrorism training programs for employees, emergency drills and citizen awareness activities.

Response	

I.D. Provide a brief abstract for this investment.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	Provide a succinct statement summarizing this investment.
Response	

II. Strategic and Program Priorities

II.A. Describe how this investment specifically addresses one or more of the transit security fundamentals identified in the FY07 IPP Guidance.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	Describe how the investment addresses one or more of the following: • Protection of high risk/high consequence underwater/underground assets and systems; • Protection of other high risk/high consequence assets and systems that have been identified through system-wide risk assessments; • Use of visible, unpredictable deterrence; • Targeted counter-terrorism training for key front-line staff; • Emergency preparedness drills and exercises; and, • Public awareness and preparedness campaigns.
Response	

II.B. Describe the relevance of the investment to the *National Preparedness Goal*, *National Strategy for Transportation Security*, and (for ferry system investments only) the *National Strategy for Maritime Security*.	
Response Type	Narrative
Page Limit	Not to exceed ½ page

Response Instructions	• Explain how this investment will support one or more of the following *National Preparedness Priorities*:
	  ○ Expanding regional collaboration;
	  ○ Implementing the National Incident Management System and the National Response Plan;
	  ○ Implementing the National Infrastructure Protection Plan;
	  ○ Strengthening information sharing and collaboration capabilities;
	  ○ Enhancing interoperable communications capabilities; and,
	  ○ Strengthening CBRNE detection and response capabilities.
	• Explain how this investment will support the goals of the *National Strategy for Transportation Security*; and,
	• Explain how this investment will support one or more of the 37 Capabilities within the Target Capabilities List.

Response	

II.C. Describe the relevance of this investment to the Regional Transit Security Strategy and applicable State and/or Urban Area Homeland Security Strategy.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	Investments will be evaluated on the extent to which they support applicable regional and state homeland security planning efforts. *Note: The SAA should provide a brief confirmation of the relevance of the proposed investment to the applicable state or regional plan within this field.*
Response:	

III. Impact

III.A. Discuss the anticipated impacts of this investment and how the requested funding will help attain/achieve expected impacts. Consider the areas affected, and other entities (smaller transit systems, jurisdictions, disciplines) that could leverage the outcomes and impacts of the solution presented by this investment.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• 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; • Explain at a high level how TSGP funding will help achieve these impacts. (Do not include specific information as to the amount or type of funding requested. This information should be provided in Section IV.); • Ensure this response links the identified impacts to specific geographic and demographic areas outlined in Question II.A; and, • Ensure this response identifies other transit systems, jurisdictions and disciplines that may benefit from an outcome or a solution presented by this investment.
Key Definitions:	Impact refers to the effect that this investment will have on the identified geographic and demographic areas. Outcome refers to a tangible result that can be measured and evaluated.
Response	

III.B. Discuss how the implementation of this investment will decrease or mitigate risk.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) by addressing the needs and priorities identified in earlier analysis and review; and, • 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).
Response	

III.C. Describe what the potential homeland security risks of not funding this investment are.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Consider the risks that already exist and will be more prevalent and/or any new risks that will result if this investment is not funded and implemented; and, • Briefly discuss potential outcomes if this risk is not addressed – explain what vulnerabilities will not be reduced or what potential consequences will not be mitigated.
Response	

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Numeric and Narrative
Page Limit	Not to exceed 1 page
Response Instructions	• Complete the chart below to identify the amount of funding being requesting for this investment only; • Funds should be requested by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration.); • Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and, • Applicants must indicate whether additional funding (non-FY07 TSGP) will be leveraged for this investment. *Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment. See Appendix 5 of this document for a sample format.*
Response	

The following template illustrates how the Applicants should indicate the amount of FY07 TSGP funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY07 TSGP funds will be utilized:

	FY07 TSGP Request Total	Other Funding Sources Applied	Grand Total
Planning			
Organization			
Equipment			
Training			
Exercises			
M&A			
Total			

IV.B. Identify up to five potential challenges to the effective implementation of this investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• For each identified challenge, provide a brief description of how the challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low); • The response should focus on the implementation only; • Consider the necessary steps and stages that will be required for successful implementation of the investment; • Identify areas of possible concern or potential pitfalls in terms of investment implementation; and, • Explain why those areas present the greatest challenge to a successful investment implementation.
Response	

IV.C. Describe the management team, including roles and responsibilities, that will be accountable for the oversight and implementation of this investment, and the overall management approach they will apply for the implementation of this investment.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Provide the high-level skill sets (e.g., budget execution, grant administration, geospatial expert, outreach and communication liaison) that members of the management team must possess for the successful implementation and oversight of the investment; • Discuss how those skill sets fulfill the oversight and execution responsibilities for the investment, and how the management roles and responsibilities will be distributed/assigned among the management team; and, • Explain how the management team members will organize and work together in order to successfully manage the investment.
Response	

IV.D. Discuss funding resources beyond FY07 TSGP that have been identified and will be leveraged to support the implementation and sustainment of this investment.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Discuss other funding sources (e.g., non-TSGP grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment; • If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY07 TSGP funding is sufficient for the implementation and sustainment of this investment; and, • Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance. Investments will also be evaluated on the willingness of the transit agency to provide a cash match or operational equivalent regardless of amount and source. *Note: Investments will be considered regardless of whether there is a match or not.*
Response	

IV.E. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. Up to 10 milestones may be provided.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	• Only include major milestones that are critical to the success of the investment; • While up to 10 milestones may be provided, applicants should only list as many milestones as necessary; • Milestones are for this discrete investment – those that are covered by the requested FY07 TSGP funds and will be completed over the 36-month grant period; • Milestones should be kept to high-level, major tasks that will need to occur; • Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; • Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and, • List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).
Response	

IV.F. Describe the planned duration for this overall investment. Discuss your long-term sustainability plans for the investment after your FY07 TSGP funds have been expended, if applicable.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Give the expected total life-span for this investment if fully implemented and sustained through completion; • Consider how this investment will be sustained and funded after FY07 TSGP funds are expended, if applicable; • Include information about resource needs (e.g., personnel, processes, and tools), as well as critical governance needs; and, • List critical milestones that are outside of the FY07 TSGP grant period, and how those milestones will be met with the identified funding and resources.
Response	

IV.G. Describe the technical implementation plan for this investment. Discuss the advantages of the solution proposed.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Define the vision, goals, and objectives for the risk reduction, and summarizes how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols); • Describe the specific needs and/or resource limitations that need to be addressed; • Identify any potential partners and their roles and staffing requirements, and provide information on any existing agreements such as Memoranda of Understanding (MOU); • Identify specific equipment needs (e.g., number of facility cameras, number of security lights, amount of security fencing, etc.) and other details for training, awareness, exercises, and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed materials, number of agencies and staff members involved in exercise planning, execution, and review); • Describe progress made on the security project this investment will be completing, if applicable; and, • Reference use of prior year grant funds, if applicable.
Response	

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

C. Investment Justification Submission and File Naming Convention

Investment Justifications must be submitted with the grant application as a file attachment within *grants.gov*. Applicants must use the following file naming convention when submitting the Investment Justifications as part of the FY07 TSGP supplemental:

Investment Justification (through *grants.gov* file attachment)
State_Region_ IJ Number (Example: CO_Denver_IJ_1)

Appendix 5
Training Cost Matrix

	BASIC MASS TRANSIT SECURITY TRAINING PROGRAM													
Training Description	Focus	Standard	Categories of Employees to Receive									Federal Course Availability		
			Front-Line Employees	Station Managers	Administrative and Support Staff	Maintenance Workers	Mid-Level Management	Senior Management	Operations Control Center Staff	Security Guards	Law Enforcement	Federal Course Title	Approved Vendors	Duration
Security Awareness	Enhance capability to identify, report, and react to suspicious activity and security incidents	2 Hours Annually (minimum) Recurring	X	X	X	X	X	X	X	X	X	System Security Awareness for Transportation Employees	NTI	4 Hours Classroom
Behavior Recognition	Recognize behaviors associated with terrorists' reconnaissance and planning activities, including the conduct of surveillance. Applies lessons learned from the Israeli security meeting.	2 Hours Annually (minimum) Recurring	X	X		X	X	X	X	X	X	Terrorist Awareness Recognition and Reaction (TARR) BASS/PATRIOT	NTI	4 Hours Classroom
Immediate Emergency Response	Prepare passenger rail train operators to deal with explosive detonations, incendiaries, released chemical hazards, and similar threats in the confines of trains and system infrastructure.	4 Hours Annually (minimum) Recurring	X	X					X		X	N/A - Transit Systems can develop their own courses. Transit agencies do conduct local programs on this subject. Incident Management for Transit Employees and Passenger Management (courses in development by NTI)	N/A	N/A
National Incident Management System (NIMS)	Ensure transit agency emergency preparedness and response personnel gain and retain the knowledge and skills necessary to operate under NIMS in accordance with the National Response Plan (NRP).	Train on NIMS once; reinforce in drills and exercises		X				X	X		X	National Incident Management System (NIMS) for Transit	NTI	1 to 3 Days
Operations Control Center Readiness	Identify security vulnerabilities. Understand and exercise role of OCC personnel in preventing terrorist attacks. Distinguish characteristics of improvised explosive devices (IEDs) and weapons of mass destruction. Specify priorities during a terrorist attack and manage incident response. Apply transit agency's operational plans for response to IED and WMD scenarios, directing and coordinating activities in the system.	Train for OCC readiness once; reinforce in drills and exercises							X			Rail Operations Control Center Response to WMD Incidents	NTI	6 Hours

	MASS TRANSIT SECURITY FOLLOW-ON COURSES													
Training Description	**Focus**	**Standard**	Front-Line Employees	Station Managers	Administrative and Support Staff	Maintenance Workers	Mid-Level Management	Senior Management	Operations Control Center Staff	Security Guards	Law Enforcement	**Federal Course Title**	Approved Vendors	**Duration**
Management of Transit Emergencies I (4-day course)	Ensure employees throughout the transit agency understand individual roles in emergency response and the transit system's role in emergencies or disasters in the system and the broader community.		X	x	X	X	X	X	X	X	X	Effectively Managing Transit Emergencies (FT00456)	TSI	4 Days
Management of Transit Emergencies II (1-day course)	Ensure employees throughout the transit agency understand individual roles in emergency response and the transit system's role in emergencies or disasters in the system and the broader community.		X	x	X	X	X	X	X	X	X	N/A - Transit Systems can develop their own courses.	N/A	N/A
Coordinated Interagency Emergency Response	Advance interoperability of the transit agency with multiple responding entities in emergency response.		X	x		X				X	X	Connecting Communities Emergency Response and Preparedness Forum	TSA/FTA/ FEMA (formerly G&T)	2 Days
Managing Counter-terrorism Programs	Enable transit agency management officials to develop and manage a counterrorism program in a transit system.			X			X	X	X			Strategic Counterrorism for Transit Managers	JHU	2 Days
Prevention and Mitigation - IEDS and WMD: T4 3-day course	Enhance capabilities to identify threats from improvised explosive devices and weapons of mass destruction (chemical, biological, radiological, nuclear) to identify, report, and react to suspicious activity and security incidents		X	X	X	X				X	X	Transit Terrorist Tools & Tactics (T4)	FEMA (formerly G&T)/ Grants	T4 - 3 days
Prevention and Mitigation - IEDS and WMD: CBRNE Incident Management 1-day course	Enhance capabilities to identify threats from improvised explosive devices and weapons of mass destruction (chemical, biological, radiological, nuclear) to identify, report, and react to suspicious activity and security incidents		X	X	X	X				X	X	Transit Explosives (CBRNE) Incident Management Seminar (FT00438)	TSI	CBRNE Incident Managemen t - 5 hours
Transit Vehicle Hijacking Prevention and Response	Enable employees to develop and implement plans and procedures to respond to transit vehicle hijackings and workplace violence		X	X		X			X	X	X	Threat Management and Emergency Response to Bus and Rail Hijackings (FT00544)	TSI	1 Day
Integrated Anti-Terrorism Security Program	Enhance capabilities of transit agency security officials, law enforcement personnel, and others with interaction with passengers to detect, deter, and prevent acts of terrorism.						X	X		X	X	Land Transportation Anti-Terrorism Training Program (FLETC)	FLETC	5 Days
Transit System Security Design	Expand integration of security considerations into designs of new transit systems and improvements of existing systems.						X	X				Transit System Security Design Review (FT00538)	TSI	3 days

TRAIN-THE-TRAINER COURSES														
Training Description	Focus	Standard	Categories of Employees to Receive											
			Front-Line Employees	Station Managers	Administrative and Support Staff	Maintenance Workers	Mid-Level Management	Senior Management	Operations Control Center Staff	Security Guards	Law Enforcement	Federal Course Title	Vendors	Duration
Security Awareness Train-the-Trainer	Enhance capability to identify, report, and react to suspicious activity and security incidents		X	X	X	X	X	X	X	X	X	System Security Awareness for Transportation Employees	NTI	6 Hours Train the Trainer
Behavior Recognition Train-the-Trainer	Recognize behaviors associated with terrorists' reconnaissance and planning activities, including the conduct of surveillance. Applies lessons learned from the Israeli security meeting.		X	X		X	X	X	X	X	X	Terrorist Awareness Recognition and Reaction (TARR)	NTI	6 Hours Train the Trainer

Using the Training Cost Matrix

The FY07 TSGP Training Cost Matrix was created to assist transit systems in developing pre-approved training costs when requesting FY07 TSGP funds for employee security training investments.

Training courses requested must be DHS-approved courses. For areas where there are no identified courses, transit agencies are encouraged to develop their own training programs, or see which other emergency management courses already offered may be adaptable to cover this subject area.

The vendors providing the training do not necessarily need to be DHS-approved vendors. Please try and schedule your training with one of the approved vendors listed in the above table. If for some reason you are having difficulties scheduling the training with an approved vendor, or no approved vendors have been identified, you may identify other vendors to provide the training provided you alert DHS prior to conducting the training.

Training must be completed within the 36-month grant period of performance.

To use the TSGP Training Cost Matrix:

1. Download and save the file to your hard drive (available on www.tsa.gov/grants).
2. Read over the course descriptions and review the appropriate categories of employees to receive the training on the "Training Reference Sheet" tab. Identify how many employees in each category should take each training course.
3. To start entering data and calculating training costs, go to the "DATA ENTRY SHEET – Cost Sheet" tab.
4. For each training course, enter in the number of employees, by category that will attend each course.

5. After you have entered the relevant information for all employees and all training courses, the last row will calculate your total training funds to request in your Investment Justification. If the total exceeds $500 thousand, you must revisit the cost matrix and remove employees and/or training courses until the total is equal to or less than $500 thousand.

Training Cost Matrix Submission and File Naming Convention

The training cost matrix must be submitted with the grant application as a file attachment within *grants.gov*. Applicants must use the following file naming convention when submitting Training Cost Matrices:

Training Cost Matrix (through *grants.gov* file attachment)
State_Region_IJ Number_Training Cost Matrix (Example: CO_Denver_IJ#1_Training Cost Matrix)

If you have any questions regarding the Training Cost Matrix, or the FY07 TSGP supplemental, please contact the Centralized Scheduling and Information Desk (CSID) at askcsid@dhs.gov or 1-800-368-6498 between 8:00 a.m. and 7:00 p.m. EST.

Appendix 6
Award and Reporting Requirements

A. Grant Award and Obligation of Funds.

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the "award date." The signed award document with special conditions must be returned to:

Department of Homeland Security
Federal Emergency Management Agency
Grant Program Directorate (GPD)
500 C St SW
Washington, DC 20472

An obligation is defined in the *Office of Grant Operations (OGO) Financial Management Guide* as a legally binding liability under a grant, sub-grant, and/or contract determinable sums for services or goods incurred during the grant period.

Awards made to SAA's for the IPP carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to units of local governments, combinations of local units, or other specific groups or organizations. The State's pass-through period must be met within 60 days of the award date for the TSGP[17]. Four requirements must be met to pass-through grant funds:

- There must be some action to establish a firm commitment on the part of the awarding entity.
- The action must be unconditional (i.e., no contingencies for availability of SAA funds) on the part of the awarding entity.
- There must be documentary evidence of the commitment.
- The award terms must be communicated to the official grantee.

The period of performance is 36 months from the date of award. Any unobligated funds will be deobligated by DHS at the end of this period. Extensions to the period of performance will be considered only through formal requests to NPD with specific and compelling justifications why an extension is required.

B. Post Award Instructions.

The following is provided as a guide for the administration of awards. Additional details and requirements may be provided to the grantee in conjunction with finalizing an award.

[17] For purposes of the FY07 TSGP, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).

1. Review award and special conditions document. Notification of award approval is made by e-mail through the FEMA Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official. Carefully read the award and any special conditions or other attachments.

If you agree with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19. You should maintain a copy and return the original signed documents to:

Department of Homeland Security
Federal Emergency Management Agency
Grant Program Directorate (GPD)
500 C St SW
Washington, DC 20472

If you do not agree with the terms and conditions, contact the awarding NPD Program Manager as noted in the award package.

2. Read the guidelines. Read and become familiar with the "*OGO Financial Management Guide*" which is available at 1-866-927-5646 or online at: *http://www.dhs.gov/xlibrary/assets/Grants_FinancialManagementGuide.pdf*.

3. Reporting Requirements. Reporting requirements must be met during the life of the grant (refer to the *OGO Financial Management Guide* and the specific program guidance for a full explanation of these requirements, special conditions and any applicable exceptions). Please note that the *Payment and Reporting System* contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

6. Questions about your award? A reference sheet is provided containing frequently asked financial questions and answers. Questions regarding your grant should be addressed to the FEMA help line at 1-866-927-5646 or email at: *ask-ogo@dhs.gov*.

Note: If you have any questions about GMS, need to establish a GMS account, or require technical assistance with accessing your award, contact the GMS Hotline at 1-888-549-9901.

C. Drawdown and Expenditure of Funds.

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can drawdown and expend grant funds through the Payment and Reporting System.

Grant recipients should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days.

Questions regarding award payments and how to access this system should be addressed to the dedicated FEMA call center at 1-866-927-5646 or email at ask-ogo@dhs.gov.

D. Reporting Requirements.

1. Financial Status Report (FSR) -- required quarterly. Obligations and expenditures must be reported to NPD on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR is due on April 30). Please note that this is a change from previous fiscal years. A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs will be withheld if these reports are delinquent. The final FSR is due 90 days after the end date of the award period.

FSRs **must be filed online** through the Payment and Reporting System.

Grantees are reminded to review the following documents and ensure that grant activities are conducted in accordance with the applicable guidance:

- OMB Circular A-102, *Grants and Cooperative Agreements with State and Local Governments*, at: *http://www.whitehouse.gov/omb/circulars/index.html*
- OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments,* at: *http://www.whitehouse.gov/omb/circulars/index.html*
- OMB Circular A-110, *Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations*, at *http://www.whitehouse.gov/omb/circulars/index.html*
- OMB Circular A-21, *Cost Principles for Educational Institutions,* at: *http://www.whitehouse.gov/omb/circulars/index.html*
- OMB Circular A-122, *Cost Principles for Non-Profit Organizations,* at: *http://www.whitehouse.gov/omb/circulars/index.html*

For FY07 awards, grant and sub-grant recipients should refer to the OGO Financial Guide. All previous awards are still governed by the OJP Financial Guide, available at: *http://www.ojp.usdoj.gov/FinGuide*. GMO can be contacted at 1-866-927-5646 or by email at: *ask-OGO@dhs.gov*.

Required submission: Financial Status Report (FSR) SF-269a (due quarterly).

2. Categorical Assistance Progress Report (CAPR). Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a regular basis. The CAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30, and on January 30 for the reporting period of July 1 though December 31). Future awards and fund drawdowns may be withheld if these reports are delinquent. The final CAPR is due 90 days after the end date of the award period.

Block #12 of the CAPR should be used to note progress against the proposed project. The grantor agency shall provide sufficient information to monitor program implementation and goal achievement. At a minimum, reports should contain the following data: (1) As applicable, the total number of items secured under this grant (e.g., access controls, surveillance, physical enhancements, and vessels) to date, and (2) for other items acquired through this grant, a brief description and total number of items obtained to date.

CAPRs must be filed online through the internet at: *https://grants.ojp.usdoj.gov*. Forms and instructions can be found at: *http://www.ojp.usdoj.gov/forms.htm*.

Required submission: CAPR (due semiannually).

3. Exercise Evaluation and Improvement. Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at: *http://www.ojp.usdoj.gov/G&T/docs/HSEEPv2.pdf*. Grant recipients must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with NPD support (grant funds or direct support) and submitted to NPD within 60 days following completion of the exercise.

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The IP outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally the IP, with at least initial action steps, should be included in the final AAR. NPD is establishing a national database to facilitate the scheduling of exercises, the submission of the AAR/IPs and the tracking of IP implementation. Guidance on the development of AARs and IPs is provided in Volume II of the HSEEP manuals.

Required submissions: AARs and IPs (as applicable).

4. Financial and Compliance Audit Report. Recipients that expend $500,000 or more of Federal funds 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 U.S. General Accountability Office, *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/a133.html*. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY07 IPP assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

The State shall require that sub-grantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

5. Federal Funding Accountability and Transparency Act. While there are no State and Urban Area requirements in FY07, the Federal Funding Accountability and Transparency Act of 2006 may affect State and Urban Area reporting requirements in future years. The Act requires the Federal government to create a publicly searchable online database of Federal grant recipients by January 1, 2008 with an expansion to include sub-grantee information by January 1, 2009.

6. National Preparedness Reporting Compliance. The Government Performance and Results Act (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. DHS will work with grantees to develop tools and processes to support this requirement. DHS anticipates using this information to inform future-year grant program funding decisions.

7. National Assessment of State and Local Preparedness. HSPD-8 (National Preparedness) calls for an assessment of national preparedness. Furthermore, the FY07 DHS Appropriations Act requires a comprehensive national assessment of State and local preparedness in FY07. Additional guidance will be provided during the grant period regarding these requirements. DHS will strive to ensure reporting requirements support State and local level performance management requirements, where applicable. Congress also requires a Federal Preparedness Report on the Nation's level of preparedness for all hazards, including natural disasters, acts of terrorism, and other man-made disasters, including an estimate of the amount of Federal, State, local, and tribal expenditures required to attain the National Preparedness Priorities by October 4, 2007, and annually thereafter.

8. Catastrophic Resource Report. The Department is also required to develop and submit an annual Catastrophic Resource Report which estimates the resources of DHS and other Federal agencies needed for and devoted specifically to developing the capabilities of Federal, State, local, and tribal governments necessary to respond to a catastrophic incident. This requirement includes an estimate of State, local, and Tribal government catastrophic incident preparedness.

9. State Preparedness Report. Congress requires that States receiving DHS-administered Federal preparedness assistance shall submit a State Preparedness Report to the Department on the State's level of preparedness by January 4, 2008, and annually thereafter. The report shall include: (1) an assessment of State compliance with the national preparedness system, NIMS, the NRP, and other related plans and strategies; (2) an assessment of current capability levels and a description of target capability levels; and (3) an assessment of resource needs to meet the National Preparedness Priorities, including an estimate of the amount of expenditures required to attain the Priorities and the extent to which the use of Federal assistance during the preceding fiscal year achieved the Priorities.

E. Monitoring.

Grant recipients will be monitored periodically by DHS staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based reviews and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed.

The recipient is responsible for monitoring award activities, to include sub-awards, to provide reasonable assurance that the Federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining of adequate financial records, and refunding expenditures disallowed by audits.

F. Grant Close-Out Process.

Within 90 days after the end of the award period, SAAs must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by NPD, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR.

> ***Required submissions: (1) final SF-269a, due 90 days from end of grant period; and (2) final CAPR, due 90 days from the end of the grant period.***

Appendix 7
Additional Resources

This Appendix describes several resources that may help applicants in completing an IPP application.

1. Centralized Scheduling & Information Desk (CSID) Help Line. The CSID is a non-emergency resource for use by emergency responders across the nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS through NPD for homeland security terrorism preparedness activities. The CSID provides general information on all DHS Grant programs and information on the characteristics of CBRNE, agro-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources.

The CSID maintains a comprehensive database containing key personnel contact information for homeland security terrorism preparedness programs and events. These contacts include personnel at the Federal, State and local levels. The CSID can be contacted at 1-800-368-6498 or *askcsid@dhs.gov*. CSID hours of operation are from 8:00 am–6:00 pm (EST), Monday-Friday.

2. Grants Management Office (GMO) The Grants Management Office will provide fiscal support, including pre- and post-award administration and technical assistance, of the grant programs included in this solicitation.

For financial and administrative questions, all grant and sub-grant recipients should refer to the OGO *Financial Management Guide* or contact GMO at 1-866-927-5646 or *ask-ogo@dhs.gov*.

3. GSA's Cooperative Purchasing Program. The U.S. General Services Administration (GSA) offers an efficient and effective procurement tool for State and local governments to purchase information technology products and services to fulfill homeland security and other needs. The Cooperative Purchasing Program allows for State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and the Consolidated Schedule (containing IT Special Item Numbers) only. Under this program, State and local governments have access to over 3,000 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program.

State and local governments can find eligible contractors on GSA's website, *www.gsaelibrary.gsa.gov*, *d*enoted with a COOP PURCH symbol. Assistance is available from GSA at the local and national level. For assistance at the local level visit *www.gsa.gov/csd* to find the point of contact in your area and for assistance at the national level, contact Patricia Reed *at patricia.reed@gsa.gov, 213-534-0094. More information is available at www.gsa.gov/cooperativepurchasing*.

4. Exercise Direct Support. DHS has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to States and local jurisdictions in accordance with State Homeland Security Strategies and HSEEP. Contract support is available to help States conduct an Exercise Plan Workshop, develop a Multi-year Exercise Plan and build or enhance the capacity of States and local jurisdictions to design, develop, conduct, and evaluate effective exercises.

In FY07, states may receive direct support for three exercises: one Training & Exercise Plan Workshop (T&EPW); one discussion-based exercise; and one operations-based exercise. While states are allowed to submit as many direct support applications as they choose, they are strongly encouraged to give careful thought to which exercises will require the additional assistance that will be provided through the direct support program. Exercises involving cross-border or mass-gathering issues will be counted against the number of direct-support exercises being provided to states.

Applications for direct support are available at *http://hseep.dhs.gov* and are reviewed on a monthly basis. The Homeland Security Exercise and Evaluation Program offer several tools and resources to help design, develop, conduct and evaluate exercises.