

FY 2013 TRANSIT SECURITY GRANT PROGRAM (TSGP) FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

OVERVIEW INFORMATION

Issued By

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

Catalog of Federal Domestic Assistance (CFDA) Number

97.075

CFDA Title

Transit Security Grant Program

Funding Opportunity Announcement Title

Fiscal Year (FY) 2013 Transit Security Grant Program (TSGP)

Authorizing Authority for Program

Section 1406 of the *Implementing Recommendations of the 9/11 Commission Act of 2007*, Public Law 110-53 (6 U.S.C. 1135)

Appropriation Authority for Program

The Department of Homeland Security Appropriations Act, 2013 (Public Law 113-6)

FOA Number

DHS-13-GPD-075-000-02

Key Dates and Time

Application Start Date: 05/21/2013

Application Submission Deadline Date: 06/24/2013 at 11:59:59 p.m. ET

Anticipated Funding Selection Date: 08/02/2013

Anticipated Award Date: 09/30/2013

Other Key Dates

Applying for FY 2013 TSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published but no later than June 17, 2013. This involves submitting a complete Standard Form 424 to Grants.gov. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to Grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the Non Disaster (ND) Grants system. The

submission deadline for the full application package is June 24, 2013. For additional details see Section X of the full FOA.

Intergovernmental Review

Is an intergovernmental review required?

Yes No

If yes, applicants must contact their State's Single Point of Contact (SPOC) to determine if the program has been selected for State review and comply with the State's process under Executive Order (EO) 12372. Names and addresses of the SPOCs are maintained at the Office of Management and Budget's (OMB) home page at http://www.whitehouse.gov/omb/grants_s poc.

FOA EXECUTIVE SUMMARY

Program Type

Select the applicable program type:

New Continuing One-time

Date of origin for Program: 11/25/2002

Opportunity Category

Select the applicable opportunity category:

Discretionary Mandatory Competitive Non-competitive

Application Process

DHS makes all funding opportunities available through the common electronic “storefront” Grants.gov, accessible on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

For additional details on how to apply, please refer to Section X of the full FOA.

Eligible Applicants

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

Others (Transit Agencies)

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

Type of Funding Instrument

Select the applicable funding instrument:

Grant Cooperative Agreement

Cost Share or Match

Select the applicable requirement:

Cost Match Cost Share None Required

Maintenance of Effort

Is there a Maintenance of Effort (MOE) requirement?

Yes No

Management and Administration

Management and administration (M&A) activities are those defined as directly relating to the management and administration of TSGP funds, such as financial management and monitoring. M&A costs may not exceed five percent (5%) of the total award.

Indirect Costs

Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant Federal agency) is required at the time of application. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

FULL FOA

I. Funding Opportunity Description

Program Overview and Priorities

The FY 2013 TSGP is one of the Department's FY 2013 grant programs that directly support transportation infrastructure security activities. TSGP is one tool in the comprehensive set of measures authorized by Congress and implemented by the Administration to strengthen the Nation's critical infrastructure against risks associated with potential terrorist attacks. TSGP provides funds to owners and operators of transit systems (which include intra-city bus, commuter bus, ferries, and all forms of passenger rail) to protect critical surface transportation infrastructure and the traveling public from acts of terrorism and to increase the resilience of transit infrastructure.

For additional details on priorities for this program please refer to Appendix B – *TSGP Priorities*.

Program Objectives

The FY 2013 TSGP plays an important role in the implementation of the National Preparedness System (NPS) by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (NPG) of a secure and resilient Nation. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The FY 2013 TSGP's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Grantees under the FY 2013 TSGP are encouraged to build and sustain core capabilities through activities such as:

- Strengthening governance integration
- Operational activities
- Operational Packages (OPacks)
- Top Transit Asset List (TTAL) remediation

For additional information on program priorities and objective for FY 2013 TSGP, refer to Appendix B – *TSGP Priorities*.

II. Funding Information

Award Amounts, Important Dates, and Extensions

Available Funding for this FOA: \$83,716,813

Projected Number of Awards: 30

Projected Award Start Date(s): 09/01/2013

Projected Award End Date(s): 08/31/2015

Period of Performance: 24 months

Grantees must accept their grant awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through official correspondence (e.g., written, electronic signature, signed letter or fax to GPD), and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

For details on program funding amounts, please refer to Appendix A – *Eligible Rail, Intra-city Bus, and Ferry Public Transportation Agencies*.

Period of Performance

Is an extension to the period of performance permitted?

Yes No

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. Agencies should request extensions sparingly and expect extensions to be granted only under exceptional circumstances. For additional information on the period of performance extensions, refer to Information Bulletin (IB) 379 located at <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>.

Additional Funding Information

In FY 2013, the total amount of funds distributed under this grant program will be \$83,716,813. The FY 2013 TSGP funds will be allocated based on the funding priorities outlined in Appendix B – *TSGP Priorities*.

III. Eligibility Information

Eligibility Criteria

Agencies eligible for the FY 2013 TSGP are determined based upon daily unlinked passenger trips (ridership) and transit systems that serve historically eligible Urban Areas Security Initiative (UASI) jurisdictions. Certain ferry systems are eligible to participate in the FY 2013 TSGP and receive funds. However, any ferry system electing to participate and receive funds under the FY 2013 TSGP will not be eligible to participate under the FY 2013 Port Security Grant Program (PSGP) and will not be considered for funding under the FY 2013 PSGP. Likewise, any ferry system that participates in the PSGP will not be eligible for funding under the TSGP.

Sections 1405 and 1406 of the 9/11 Act require that high risk public transportation agencies, including those that receive grant funding, must develop a security plan based on a security assessment. Additionally, the legislation directs that grant funds be used to address items in the security assessment or the security plan. In order to be eligible for the FY 2013 TSGP, transit agencies must have developed and/or updated their security plan, which must be based on a security assessment such as the Baseline Assessment for Security Enhancement (BASE) performed by Transportation Security Inspectors-Surface from the Transportation Security Administration (TSA), within the last three years of receiving an FY 2013 award. A copy of the Security Plan and security assessment must be available for DHS review upon request. Please see Appendix F – *Security Plan Requirements* for more information on security plan requirements.

Entities providing transit security (e.g., city/county police department, public transportation agency's own police department) for a public transportation agency must approve the security plan. The signature of a responsible official from the agency's transit security provider serves as this approval. If there is more than one provider in the core service area, all transit security providers must review and concur with the plan. Associated documentation of this approval must be provided to DHS upon request. In addition, the agency's transit security provider is encouraged to review the Investment Justifications (IJs) prior to submission.

Each public transportation agency receiving funds through this program must participate in a Regional Transit Security Working Group (RTSWG) or develop a RTSWG if one does not already exist. The RTSWG should serve as the place where regional partners discuss risk, planning efforts, and mitigation strategies. These discussions should be held regardless of funding in order to continue to enhance the overall security of the region.

Appendix A – *Eligible Rail, Intra-city Bus, and Ferry Public Transportation Agencies* provides a list of eligible transit agencies. **Eligibility does not guarantee grant funding.**

IV. Funding Restrictions

Restrictions on Use of Award Funds

TSGP grant recipients and sub-recipients may only use TSGP grant funds for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

For additional details on restrictions on the use of funds, please refer to Appendix C – *Funding Guidelines*

V. Application Review Information and Selection Process

Application Review Information

Grantees must comply with all administrative requirements described herein — including the submission of IJs, budgets, and other application materials as required. Having met all administrative requirements, the application will be scored based on a methodology that will ensure consistent and accurate evaluations of projects and proposals.

Applications requesting funds will be reviewed and selected based on the following criteria:

1. **Risk Group Score.** The agency's risk group score will be provided separately in accordance with proper Sensitive Security Information (SSI) handling.
2. **Funding Priority Areas.** Projects will be evaluated and prioritized based on the extent to which they align with the Funding Priority Areas (see Table 2 in Appendix B - *TSGP Priorities*).
3. **Risk Mitigation Score*.** The potential risk mitigation of the project (as determined by the information provided in the IJ). This score has several possible components, and is calculated by the average of the applicable sub-components described below, and shown in Table 1 below.
 - a. **Cost effectiveness.** Projects will be evaluated and prioritized on the expected impact on security relative to the investment.
 - b. **Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk associated with potential terrorist attacks and all other types of hazards.

- c. **Sustainability without additional Federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.
 - d. **Timelines.** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes, and how quickly the project can be implemented once funding is received due to planning activities, contracting issues, construction requirement, or other such factors.
 - e. **BASE Deficiency (for all Funding Priority A projects).** Projects will be evaluated and prioritized on linkages to deficiencies identified in their BASE or a comparable vulnerability assessment/security plan.
 - f. **TTAL Remediation (for Funding Priority B projects only).** Projects will be evaluated and prioritized based on their ability to fully remediate known vulnerabilities of assets on the TTAL.
4. **Regional Collaboration.** Where appropriate, projects will be evaluated and prioritized based on the collaboration of agencies within a specified region.

Final project scores will be calculated as follows:

$$\begin{aligned}
 & \text{Risk Group Score} \\
 & + \\
 & \text{Funding Priority Area Score} \\
 & + \\
 & \text{Risk Mitigation Score*} \\
 & + \\
 & \text{Regional Collaboration Component}
 \end{aligned}$$

*As outlined in Table 1, below, the “risk mitigation” component will have different review factors based on the project type.

As identified in Tables 1 and 2, Operational Activities remain the highest TSGP Funding Priority Area (FPA) A.

Table 1: Funding Priority Areas Risk Mitigation Score Components

Priority	Project Types	Risk Mitigation Score Components
A	Operational Activities	<ul style="list-style-type: none"> • Cost effectiveness • Ability to reduce risk of catastrophic events • Sustainability without additional Federal funds/leveraging of other funding • Timelines • BASE Deficiency linked to assessment score
B	TTAL Remediation	<ul style="list-style-type: none"> • Cost effectiveness • Ability to reduce risk of catastrophic events • Sustainability without additional Federal funds/leveraging of other funding • Timelines • TTAL Remediation

Priority	Project Types	Risk Mitigation Score Components
C	OPacks/Surge Patrols	<ul style="list-style-type: none"> • Cost effectiveness • Ability to reduce risk of catastrophic events • Sustainability without additional Federal funds/leveraging of other funding • Timelines
D	All Other Projects	<ul style="list-style-type: none"> • Cost effectiveness • Ability to reduce risk of catastrophic events • Sustainability without additional Federal funds/leveraging of other funding • Timelines • Other capital use of funds, as outlined in Public Law 110-53 Section 1406(b)(1)

Application Selection Process

The following process will be used to make awards for the program:

- FEMA will verify compliance with each of the administrative and eligibility criteria identified in the application kit.
- FEMA will calculate a total score to aid with funding selections. The total score will consist of four individual parts: an agency-based risk score, a score associated with an application’s alignment to the funding priority areas, a score based on project risk mitigation, and the degree of regional collaboration.
- Eligible applications will be reviewed by a panel to determine the risk mitigation and regional collaboration scores. This panel will consist of Federal officials from multiple government agencies that will review each application and score it based on the criteria outlined in Table 1 above.
- FEMA and TSA will make recommendations for funding to the Secretary of Homeland Security based on the funding priorities and scoring methodology.

Funds will not be made available for obligation, expenditure, or drawdown until the applicant’s budget and budget narrative have been approved by FEMA.

The applicant must provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within ND Grants. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget must provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of M&A costs.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

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

Administrative and Federal Financial Requirements

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

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress or are insufficient in detail. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through Payment and Reporting System (PARS).
- 2. Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. As part of the final report, grantees must submit the Tangible Personal Property Report (SF-428), available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-428.pdf,

to provide an inventory of all tangible personal property acquired using TSGP funds. An inventory of all construction projects that used TSGP funds has to be reported using the Real Property Status Report (Standard Form SF 429) available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf.

Programmatic Reporting Requirements

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

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

VII. DHS FEMA Contact Information

Contact and Resource Information

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

Financial and Administrative Information

- 1. Grant Programs Directorate (GPD).** GPD's Grant Operations Division Business Office provides financial support and technical assistance. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.

2. **GPD Environmental Planning and Historic Preservation (GPD-EHP).** The FEMA GPD-EHP Team provides guidance and information about the EHP review process to grantees and sub-grantees. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, including the EHP Screening Form, can be found at https://www.rkb.us/ehp_docs.cfm.

Programmatic Information

1. **Centralized Scheduling and Information Desk (CSID).** CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. When necessary, grantees will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at askcsid@dhs.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

Systems Information

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

VIII. Other Critical Information

National Preparedness

DHS coordinates with local, State, territory, tribal, and Federal governments as well as the private and nonprofit sectors to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. The FY 2013 TSGP plays an important role in the implementation of the NPS by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the NPG. Information on the NPS can be found in the National Preparedness System Description (released Nov 2011), which is posted on the FEMA website at <http://www.fema.gov/national-preparedness/national-preparedness-system>. Additional details regarding the NPS and how it's supported by the TSGP can be found in Appendix B – *TSGP Priorities*.

National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2013, grantees must ensure and maintain adoption and implementation of NIMS

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident

needs. Utilization of the standardized resource management concepts such as typing, inventorying, and cataloging promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and national Tier I NIMS Resource Types can be found at <http://www.fema.gov/resource-management>.

FEMA developed the NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although State, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information can be found at http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf.

Environmental Planning and Historic Preservation (EHP) Compliance. As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Grantees and sub-grantees proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project.

SAFECOM Guidance for Emergency Communications Grants Compliance
Grantees (including sub-grantees) that are using TSGP funds to support emergency communications activities should comply with the *FY 2013 SAFECOM Guidance for Emergency Communications Grants*. *SAFECOM Guidance* is available at <http://www.safecomprogram.gov/grant/Default.aspx>.

IX. How to Apply

Application Instructions

As part of the FY 2013 TSGP application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including a project's M&A costs. An agency may submit up to eight IJs per region. Agencies may also submit up to five additional IJs for projects related to law enforcement providers that are not part of the public transportation agency. The IJ must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities and link to one or more core capabilities identified in the NPG. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by DHS. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

IJs must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting the IJs as part of the FY 2013 TSGP:

Region_Agency_IJ Number (Example: Chicago_CTA_IJ 1)

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

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

Applicants will find an IJ Template in Appendix D – *TSGP Investment Justification Template*. This worksheet may be used as a guide to assist applicants in the preparation of the IJ.

Detailed Budget

The applicant must also provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of M&A costs. A grantee may not obligate, expend, or draw down funds until a budget and budget narrative have been approved by the Grants Operations Division.

Applicants must use the following file naming convention when submitting detailed budgets as part of the FY 2013 TSGP:

Region_Agency_IJ Number_Budget (Example: Chicago_CTA_IJ 1_Budget)

Applicants will find a sample Budget Detail Worksheet in Appendix E – *Sample Budget Detail Worksheet*.

This worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. Note: Design and Planning/Engineering costs must be clearly identified in a separate line item in order for partial funding to be released prior to EHP review and approval.

Operational Packages (OPacks)

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

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

SSI Requirements

Information submitted in the course of applying for funding or reporting under certain programs or provided in the course of an entity's grant management activities under those programs which is under Federal control is subject to protection under SSI, and must be properly identified and marked. SSI is a control designation used by DHS to protect transportation security related information. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. Further information can be located in Title 49, Part 1520, Section 7 of the Code of Federal Regulations (49 CFR 1520.7).

For the purposes of TSGP, all IJs shall be considered SSI and treated as such. This means that applicants shall label documents as SSI and password protect prior to submission. The passwords for protected documents must be sent (in a separate email from that containing the documents) to the following e-mail address: askcsid@dhs.gov. For further information, please contact CSID at (800) 368-6498, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

The subject line of the email should identify:

- Applicant name
- Application number

The body of the e-mail should clearly identify:

- Applicant name
- IJ number(s) and/or summary description
- Urban Area
- POC information

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

X. Application and Submission Information

Address to Request Application Package

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” then select the CFDA number (97.075) or the FOA Number noted in the Overview Information section of the FOA and then select “Download Application Package”. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

Content and Form of Application

- 1. Application via Grants.gov.** All applicants must file their applications using the Administration’s common electronic “storefront” – <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

The application must be started and submitted using Grants.gov after registration in the System for Award Management (SAM) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

Applying for FY 2013 TSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than June 17, 2013. This involves submitting a complete Standard Form 424 to <http://www.grants.gov>. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application.

Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to Grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is June 24, 2013.

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND

Grants system, please contact ndgrants@fema.gov or (800) 865-4076. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. Unless otherwise referenced, the ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 112-0-3C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- Investment Justification (OMB Control Number: 1660-0112/FEMA Form 089-4) (see Appendix D – *TSGP Investment Justification Template*)
- Budget Detail Worksheet (see Appendix E – *Sample Budget Detailed Worksheet*)

The program title listed in the CFDA is “*Transit Security Grant Program.*” The CFDA number is **97.075**.

- 2. Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.
- 3. System for Award Management (SAM).** The application process also involves an updated and current SAM registration by the applicant at <http://www.sam.gov>. Please ensure that your organization’s name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all FEMA awards. Future payments will be contingent on the information provided in SAM; therefore it is imperative that the information is correct.

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

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

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

Hard copies of the application will not be accepted.

Appendix A – Eligible Rail, Intra-city Bus, and Ferry Public Transportation Agencies

State	Urban Area	Eligible System	Asset on DHS TTAL
AZ	Phoenix Area	City of Phoenix Public Transit Department	
		Valley Metro Regional Public Transportation Authority (Valley Metro)	
	Tucson Area	City of Tucson Transit	
CA	Fresno Area	Fresno Area Express	
	Greater Los Angeles Area (Los Angeles/Long Beach and Anaheim/Santa Ana UASI Areas)	City of Los Angeles Department of Transportation	
		Foothill Transit	
		Long Beach Transit	
		Los Angeles County Metropolitan Transportation Authority	X
		Montebello Bus Lines	
		Omnitrans (San Bernardino)	
		Orange County Transportation Authority (OCTA)	
		Santa Monica's Big Blue Bus	
		Southern California Regional Rail Authority (Metrolink)	
	Sacramento Area	Sacramento Regional Transit District	
	San Diego Area	North San Diego County Transit District (NCTD)	
		San Diego Metropolitan Transit System (MTS)	
	San Francisco Bay Area	Alameda-Contra Costa Transit District (AC Transit)	
		Altamont Commuter Express (ACE)	
		Central Contra Costa Transit Authority	
		City of Alameda Ferry Services (Blue and Gold Lines Fleet)	
		City of Vallejo Transportation Program (Ferry only)	
		Golden Gate Bridge, Highway and Transportation District	
		Peninsula Corridor Joint Powers Board (Caltrain)	
San Francisco Bay Area Rapid Transit District (BART)		X	
San Francisco Municipal Railway (MUNI)			
San Mateo County Transit Authority (SamTrans)			
Santa Clara Valley Transportation Authority (VTA)			
Transbay Joint Powers Authority			
CO	Denver Area	Regional Transportation District	
DC/MD/VA	Greater National Capital Region (National Capital Region and Baltimore UASI Areas)	Arlington Transit (ART)	
		City of Alexandria (Alexandria Transit Company)	
		Fairfax County Department of Transportation	
		Maryland Transit Administration (MTA)	
		Montgomery County Department of Transportation	
		Potomac and Rappahannock Transportation Commission	
		Prince George's County Department of Public Works and Transportation	
		Virginia Railway Express (VRE)	
		Washington Metropolitan Area Transit Authority	X
FL	Jacksonville Area	Jacksonville Transportation Authority	
	Miami/Fort Lauderdale Area (Miami and Fort Lauderdale UASI)	Broward County Division of Mass Transit	
		Miami-Dade Transit	
		South Florida Regional Transportation Authority (Tri-Rail)	

State	Urban Area	Eligible System	Asset on DHS TTAL
	Orlando Area	Central Florida Regional Transportation Authority	
	Tampa Area	Hillsborough Area Regional Transit Authority (HART)	
		Pinellas Sun Coast Transit Authority	
GA	Atlanta Area	Georgia Regional Transportation Authority	
		Metropolitan Atlanta Rapid Transit Authority (MARTA)	X
HI	Honolulu Area	City and County of Honolulu Department of Transportation Services	
IL	Urbana-Champaign Area	Champaign-Urbana Mass Transit District	
IL/IN	Chicago Area	Chicago Transit Authority (CTA)	X
		Northeast Illinois Commuter Railroad Corporation (METRA)	
		Northern Indiana Commuter Transportation District (NICTD)	
		PACE Suburban Bus	
IN	Indianapolis Area	Indianapolis Public Transportation Corporation	
KY	Louisville Area	Transit Authority of River City	
LA	New Orleans Area	Jefferson Parish Department of Transportation	
		New Orleans Regional Transit Authority (NORTA)	
MA	Boston Area	Massachusetts Bay Transportation Authority (MBTA)	X
	Springfield Area	Pioneer Valley Transit Authority	
MI	Detroit Area	City of Detroit Department of Transportation	
		Detroit Transportation Corporation	
		Suburban Mobility Authority for Regional Transportation	
	Lansing Area	Capital Area Transportation Authority	
MN	Twin Cities	Metro Transit	
MO	Kansas City Area	Kansas City Area Transportation Authority	
MO-IL	St. Louis Area	Bi-State Development Agency (Metro)	
		Madison County Transit District	
NC	Charlotte Area	Charlotte Area Transit System (CATS)	
NM	Albuquerque Area	Sun Tran of Albuquerque	
NV	Las Vegas Area	Regional Transportation Commission of Southern Nevada	
	Reno Area	Regional Transportation Commission of Washoe County	
NY	Albany Area	Capital District Transportation Authority	
	Buffalo Area	Niagara Frontier Transportation Authority	
	Rochester Area	Rochester Genesee Regional Transportation Authority	
NY/NJ/CT	New York City/Northern New Jersey Area (New York City and Jersey City/Newark UASI Areas)	Connecticut Department of Transportation	
		Connecticut Transit	
		Metropolitan Transportation Authority (MTA) (all components)	X
		New Jersey Transit Corp. (NJT)	X
		New York City Department of Transportation	X
		Port Authority of New York and New Jersey (PANYNJ)	X
	Westchester County Department of Transportation		
OH	Cincinnati Area	Southwest Ohio Regional Transit Authority	
		Transit Authority of Northern Kentucky	
	Cleveland Area	The Greater Cleveland Regional Transit Authority	
	Columbus Area	Central Ohio Transit Authority	
	Dayton Area	Greater Dayton Regional Transit Authority	
OR	Eugene Area	Lane Transit District	
	Portland Area	Clark County Public Transportation Benefit Area (C-TRAN)	
		Tri-County Metropolitan Transportation District (Tri-Met)	
PA	Pittsburgh Area	Port Authority Of Allegheny County	

State	Urban Area	Eligible System	Asset on DHS TTAL
PA/DE/NJ	Philadelphia Area	Delaware River Port Authority (DRPA)	X
		Delaware Transit Corporation	
		New Jersey Transit	X
		Pennsylvania Department of Transportation	
		Southeastern Pennsylvania Transportation Authority	X
PR	San Juan Area	Metropolitan Bus Authority	
		Puerto Rico Highway and Transportation Authority (heavy rail)	
RI	Providence Area	Rhode Island Public Transit Authority	
TN	Memphis Area	Memphis Area Transit Authority	
	Nashville Area	Nashville Metropolitan Transit Authority	
TX	Austin Area	Capital Metropolitan Transportation Authority	
	Dallas/Fort Worth/Arlington Area	Dallas Area Rapid Transit (DART)	
		Fort Worth Transportation Authority (The T)	
		Trinity Railway Express (TRE)	
	El Paso Area	Mass Transit Department City of El Paso	
	Houston Area	Metropolitan Transit Authority of Harris County	
San Antonio Area	VIA Metropolitan Transit		
UT	Salt Lake City Area	Utah Transit Authority	
VA	Norfolk Area	Hampton Roads Transit	
	Richmond Area	Greater Richmond Transit Company	
WA	Seattle Area	Central Puget Sound Regional Transit Authority (Sound Transit)	
		King County Department of Transportation	
		Pierce County Public Transportation Benefit Area Corporation (Pierce Transit)	
		Snohomish County Transportation Benefit Area Corporation (Community Transit)	
	Spokane Area	Spokane Transit Authority	
WI	Madison Area	Madison Metro Transit	
	Milwaukee Area	Milwaukee County Transit System	

Appendix B – TSGP Priorities

The Alignment of TSGP to the National Preparedness System (NPS)

The NPS is the instrument the Nation will employ to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (Goal). The Goal is “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The objective of the NPS is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the NPS enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

National preparedness is a shared responsibility of the whole community. Every member must be given the opportunity to contribute.

The FY 2013 TSGP plays an important role in the implementation of the NPS by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The TSGP’s allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Particular emphasis will be placed on capabilities that address the greatest risks to the security and resilience of the United States, and the greatest risks along the Nation’s borders. Funding will support deployable assets that can be utilized anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the Emergency Management Assistance Compact (EMAC).

Using the core capabilities, the FY 2013 TSGP supports the achievement of the NPG by:

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

The core capabilities contained in the Goal are highly interdependent and require us to use existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the appropriate administrative, finance, and logistics systems are in place.

To support building, sustaining, and delivering these core capabilities grantees will use the components of the NPS. The components of the NPS are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. For more information on each component, read the National Preparedness System Description available at <http://www.fema.gov/national-preparedness/national-preparedness-system>.

Building and Sustaining Core Capabilities

The FY 2013 TSGP focuses on the development and sustainment of core capabilities as outlined in the Goal. Particular emphasis will be placed on building and sustaining capabilities that address high consequence events that pose the greatest risk to the security and resilience of the United States and that can be utilized nationwide. The TSGP continues to use a comprehensive process for assessing regional and national risks and identifying capability needs in order to prioritize and invest in key deployable assets, as well as those elements that support deployment.

Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential capabilities are the core capabilities identified in the Goal.

Working together, individuals, government officials, and elected leaders can develop plans to allocate resources effectively and use available assistance to reduce risk. For these plans to be effective, those involved must consider methods to reduce and manage risk as well as how to sustain appropriate levels of capability and address potential shortfalls in order to achieve the Goal.

Achieving the Goal will require participation and resources from the whole community. Not all capabilities can be addressed in a given local, State, or Federal funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of certain capabilities to most effectively ensure their security and resilience while understanding the effects of not addressing other identified needs. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Consideration must also be given to finding, connecting to, and strengthening community resources by using the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions must also use mutual aid agreements to fill needs and work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government or partners to

address a particular need. This expectation should be communicated well before an event occurs when the capabilities are most urgently needed.

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

Files and information on the NPS can be found at <http://www.fema.gov/national-preparedness/national-preparedness-system>.

Strengthening Governance Integration

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

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

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

Risk-Based Funding

Based upon ongoing intelligence analysis, extensive security reviews, consultations with operations and security officials of mass transit and passenger rail agencies, State and local government officials, and Federal security partners, DHS will focus its available transit security 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.

Top Transit Asset List (TTAL) Remediation

DHS has identified critical infrastructure assets of national concern through the TTAL. Critical infrastructure assets are those vital to the functionality and continuity of a major transit system such that their incapacitation or destruction would have a debilitating effect on security, national economic security, public health or safety, or any combination thereof. This specifically includes critical underwater tunnels, underground stations or tunnels, shared transportation facilities and other interdependencies of the system, critical systems, and any other asset or facility that would severely impact the overall system if lost or damaged. With the creation of the TTAL, DHS can target funding to the remediation of those assets on the list in an informed and risk-based approach.

The TTAL is dynamic in nature and will be adjusted, as appropriate. Transit agencies may submit assets they feel should be considered for inclusion on the TTAL by sending an email to TSAGrants@tsa.dhs.gov.

The TTAL is considered SSI. See 49 CFR Part 1520 and www.tsa.gov/ssi for more information. Agencies that have assets on the TTAL are identified in Appendix A – *Eligible Rail, Intra-city Bus, and Ferry Transit Agencies*. TSA will provide those agencies with the list of their assets that appear on the TTAL in accordance with proper SSI handling.

Agencies that have complete remediation plans may apply for funds to remediate the asset itself. When applying for remediation funds, agencies must include a remediation plan for review and approval within their IJ. If an agency owns an asset that is not on the TTAL, they may still submit remediation projects for those assets to be considered either as a potential addition to the TTAL, or as part of the non-TTAL capital projects review.

Regional Security Coordination

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. DHS will work with TSGP applicants to strengthen and support regional consultation processes. Close coordination of the Federal TSGP investments is encouraged in all applications.

IJs that are developed collaboratively and that involve multiple eligible entities in implementation will result in funding preferences, as reflected by the regional

collaboration component of the overall project score. Examples of regional efforts include regional drills and exercises, security training courses, interoperable communications, and public awareness campaigns.

RTSWG Membership

The following entities must be invited to actively participate in the group and have full membership rights in the RTSWG: eligible transit agencies and their security providers, eligible law enforcement agencies (as sub-grantees), the State Office of Homeland Security (OHS), and Amtrak. For agencies that share assets with Amtrak, close coordination on the expenditure of funds for security enhancements at shared facilities must occur. The RTSWG must include representation from the Urban Area Working Groups (UAWGs) and freight railroad carriers if their operations intersect with that of the transit agencies.

The RTSWG must also extend an invitation to the State Administrative Agency (SAA) to serve as a co-chair on the RTSWG with any other current chairs/co-chairs established by the region; however, the SAA is under no obligation to accept this position. It is the responsibility of the applicable co-chairs to serve as facilitators and coordinators for the RTSWG meetings and any other regional transit security grants activities as determined by each RTSWG. TSA and FEMA will serve as ex-officio members of the RTSWG.

DHS places a very high priority on ensuring that all TSGP applications reflect robust regional coordination and an investment strategy that institutionalizes and integrates a regional maritime security risk mitigation strategy. This priority is a core component in the Department's Statewide grant programs and complements the goals of the Urban Areas Security Initiative (UASI) grant program.

Regional Transit Security Strategy (RTSS)

Each RTSWG is required to develop and update at least every three years an RTSS, which is not required to be submitted as part of the TSGP application. As the owners and/or operators of infrastructure that is vital to the well-being of the States and Urban Areas they serve, it is imperative that transit systems be incorporated into regional preparedness planning efforts. A template for developing the RTSS can be found at <http://www.fema.gov/government/grant/index.shtm>.

The RTSS should serve as the integration point between the individual, risk-based Security and Emergency Preparedness Plans (SEPP), and the overall security goals and objectives of the region. Therefore, the RTSS must demonstrate a clear linkage to the applicable State and urban area homeland security strategies developed or currently being developed. It is expected that the SEPPs and the RTSS will serve as the basis on which funding is allocated to address regional transit security priorities, and the vehicle through which transit agencies may justify and access other funding and resources available on a region-wide basis through the UASI program.

Funding Priority Areas

DHS has identified several different project types, and grouped them into five prioritized areas based on their effectiveness to reduce risk and alignment with departmental priorities.

Table 2: Funding Priority Areas

Funding Priority Area	Funding Priority Score	Project Description	Project Types
A	7	Operational Activities* for agencies with identified deficiencies	<ul style="list-style-type: none"> • Training (basic before follow-on): <ul style="list-style-type: none"> - Security Awareness - DHS-Approved Behavior Recognition Detection Courses - Counter-Surveillance - Immediate Actions for Security Threats/Incidents • Drills and Exercises • Public Awareness • Vulnerability Assessments and Security Plans
B	6	TTAL Remediation** for assets that have complete remediation plans	Anti-terrorism security enhancement measures, including security projects that provide for substantial security enhancements, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions: <ul style="list-style-type: none"> • Underwater Tunnels • High-Density Bridges • High-Density Stations
C	5	Operational Packages including overtime patrols	<ul style="list-style-type: none"> • Canine Teams • Mobile Explosive Screening Teams • Anti-Terrorism Teams • Directed Patrols on Overtime • Sustainment of existing capabilities/programs
D	4	Multi-User High-Density Key Infrastructure Protection	Anti-terrorism security enhancement measures, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions for: <ul style="list-style-type: none"> • Tunnel Hardening • High-Density Elevated Operations • Multi-User High-Density Stations

Funding Priority Area	Funding Priority Score	Project Description	Project Types
			<ul style="list-style-type: none"> • Hardening of SCADA, other industrial control systems, or other anti-terrorism cyber security programs • Sustainment of existing capabilities/programs
	3	Single-User High-Density Key Infrastructure Protection	<ul style="list-style-type: none"> • Anti-terrorism security enhancement measures for: <ul style="list-style-type: none"> - High-Density Stations - High-Density Bridges • Sustainment of existing capabilities/programs
	2	Key Operating Asset Protection	<ul style="list-style-type: none"> • Physical Hardening/Security of Control Centers • Secure stored/parked trains, engines, and buses <ul style="list-style-type: none"> - Bus/Rail Yards • Maintenance Facilities • Sustainment of existing capabilities/programs
	1	Other Mitigation Activities	<ul style="list-style-type: none"> • Operational activities linked to a Green assessment score*** • Interoperable Communications • Anti-terrorism security enhancement measures for low-density stations • Sustainment of existing capabilities/programs • Other use of funds, as outlined in Public Law 110-53 Section 1406(b)(1)

* **Operational Activities:** Agencies should explain in the IJ the linkages of their proposed projects to vulnerabilities identified in their BASE, or comparable vulnerability assessment/security plan if they have not undergone a BASE review. Only projects remediating deficiencies identified through a Yellow or Red BASE score in an operational category, or a comparable rating in another assessment will be reviewed in Funding Priority Area A. Projects addressing identified deficiencies will be given higher consideration during the scoring process.

** **Eligibility Requirements for TTAL Asset Remediation:** To qualify for a Priority B Project, applicants must provide in the IJ a detailed remediation plan for the asset on the TTAL, in addition to the other required documents, at the time of application.

*** **Operational Activities for Agencies with Green Assessment Scores:** Encompasses all the project types in FPA A for agencies with Green BASE scores in those areas, or comparable vulnerability assessment/security plan ratings.

The sample project types are not comprehensive and projects not listed may be eligible for funding if they fall into one of the funding priority area descriptions. Under all project types, priority will be given to those projects that can be implemented quickly. Project types that are not in Funding Priority Areas A-D will not be considered for funding under the TSGP.

Operational Packages (OPacks)

Any agency having a dedicated transit security/police force of 50 or more full-time or full-time equivalent sworn officers that can attest to their ability to sustain OPacks after the grant period of performance may apply for OPack funding to hire new officers for K-9 teams, mobile screening teams, and/or anti-terrorism teams. Law enforcement agencies with dedicated transit bureaus are eligible through the public transportation agency they provide security for; the public transportation agency is the grantee and must apply on behalf of the law enforcement agency. Security service providers with unsworn law enforcement officers or guards are not eligible.

OPack funds apply exclusively to anti-terrorism activities and may not be used to supplant existing agency programs already supported by the agency. OPack funds may be used to develop new or sustain existing capabilities/programs. OPack capabilities must be funded on a full-time basis, only for their intended purposes in line with the capabilities and functions detailed in Appendix C – *Funding Guidelines*.

Any eligible agency may apply for the equipment and support aspects of OPacks (e.g., explosives detection equipment) if they wish to provide personnel themselves (e.g., if they cannot hire additional officers, but can use existing officers). For example, an agency may purchase equipment such as portable explosive detection devices, as long as they provide personnel for a mobile screening team to operate the equipment.

Operational Activities on Overtime

Agencies may submit IJs to fund transit security police forces/law enforcement providers for patrols and activities on overtime, such as directed patrols, additional canine team, mobile screening team, or anti-terrorism team patrols. These activities must be dedicated to the transit environment, and must be anti-terrorism in nature. Agencies must identify the type of activity, length of operation (hours), number of personnel, and cost based on length of operation and personnel. Agencies should also provide risk-based justification for the request, to include linkage to a known event, such as hosting a significant regional sporting or political event; or a period of heightened awareness, such as a national holiday.

TSGP Program Management: Roles and Responsibilities at DHS

Effective management of the TSGP entails a collaborative effort and partnership within DHS, the dynamics of which require continuing outreach, coordination and interface. For the TSGP, FEMA operates the administrative mechanisms needed to implement and manage the grant program. TSA provides subject matter expertise on all matters relating to surface transportation security and other programmatic updates, and assists by coordinating the myriad intelligence information and risk/vulnerability assessments

resulting in ranking and rating rail and mass transit assets nationwide against threats associated with potential terrorist attacks and in defining the parameters for identifying, protecting, deterring, responding to, and recovering from such incidents. Together, these two agencies with additional assistance and cooperation of the Federal Transit Administration (FTA), for rail and mass transit systems, and the Federal Railroad Administration (FRA), as needed for freight rail operations, determine the primary security architecture of the TSGP.

Appendix C – Funding Guidelines

TSGP grant recipients and sub-recipients may only use TSGP grant funds for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

The following pages outline general allowable and unallowable TSGP costs guidance.

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

- Planning
- Operational Activities
- Equipment
- Training
- Exercises
- Management and Administration

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

Planning

TSGP funds may be used for the following types of planning activities:

- Development and enhancement of security plans and protocols
- Development or further strengthening of security assessments, including multi-agency and multi-jurisdictional partnerships and conferences to facilitate planning activities
- Hiring of full or part-time staff and contractors or consultants to assist with planning activities (not for the purpose of hiring public safety personnel)
- Materials required to conduct planning activities
- Other project planning activities with prior approval from DHS

Operational Activities

Three OPacks have been developed to support operational activities and are available for funding for TSGP grant applicants.

DHS encourages applicants to develop innovative layered approaches to enhance both the human and facility security on transit systems. Helping mass transit systems and 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. Implementation of one of the three OPack modules discussed below supports these efforts. The following OPacks complement existing security systems and provide appropriate, practical, and cost-effective means of protecting assets.

Agencies may submit IJs to fund transit security police forces/law enforcement providers for patrols and activities on overtime, such as directed patrols, additional canine team, mobile screening team, or anti-terrorism team patrols. These activities must be dedicated to the transit environment, and must be anti-terrorism in nature. Agencies must identify the type of activity, length of operation (hours), number of personnel, and cost based on length of operation and personnel. Agencies should also provide risk-based justification for the request, to include linkage to a known event, such as hosting a significant regional sporting or political event; or a period of heightened awareness, such as a national holiday.

Security Capital Plan and Operational Sustainment

Applicant requests for OPacks funding must include the submission of a five-year Security Capital and Operational Sustainment Plan. This plan must include how the agency proposes to implement capital projects and demonstrate how the agency will sustain the operational investments and capabilities after grant funding has been expended. Requests for OPacks will not be funded if the applicant does not have a Security Capital and Operational Sustainment Plan.

- **Explosives Detection Canine Teams (EDCT).** When combined with the existing capability of a transit security/police force, the added value provided through the addition of a canine team is significant. EDCTs are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. The TSGP will provide funds to establish dedicated security/police force canine teams. Each canine team will be composed of one dog and one handler. Funds for these canine teams may **not** be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.
- **Anti-Terrorism Teams (ATT).** The ATT capability provided through the OPack program will offer TSGP funding for dedicated transit ATT capability on a regular basis, rather than using teams for the surge capacity provided by DHS in the past. ATTs do not supersede other local transit security forces; rather, they augment current capabilities. Each ATT will consist of four individuals, including two overt elements (e.g., uniformed transit sector law enforcement officer, canine team, mobile explosive screeners), and two discreet observer elements. Funds for 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.

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

Funding Availability for OPacks

OPacks will be funded for a 24 month period from the acceptance of the award. The monetary figures presented below are stated in terms of cost per period of performance (which indicates actual/complete funding for the 24 month period). Additionally, any OPack costs after the 24 month period of performance (including expenses related to the maintenance, personnel, equipment, etc.) are the responsibility of the applicable transit system or law enforcement sub-recipient. Additional funding may be requested to be applied for in future grant cycles to maintain this operational capability, but it is not guaranteed and requires approval. If these positions are not sustained, the public transportation agency may not be eligible for this personnel support in the future.

Table 3: Available Funding for OPacks

Operational Package	Maximum Funding per Year (12 months)	Maximum Funding per POP (24 months)
EDCT	\$150,000 per team	\$300,000 per team
ATT	\$500,000 per team	\$1,000,000 per team
Mobile Explosive Screening Team	\$600,000 per team	\$1,200,000 per team

OPack Requirements

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

Table 4: OPack Requirements

Operational Package	Requirements
Explosives Detection Canine Teams	Please refer to page 34 for detailed information regarding EDCTs under the TSGP
Anti-Terrorism Teams	<p>Specific for the Canine Team within the ATT:</p> <ul style="list-style-type: none"> • Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization • Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification • The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program), the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement • The individuals hired for the covert and overt elements must be properly trained law enforcement officers • Certifications should be on file with the grantee and must be made available to DHS upon request
Mobile Explosives Screening Team	Certifications should be on file with the grantee and must be made available to DHS upon request

Allowable Expenses for OPacks

Table 5 identifies allowable expenses for the various OPacks. Please see the inserted footnotes for clarification of certain allowable costs.

Table 5: Allowable Expenses for OPacks

	Operational Package	Salary and Fringe Benefits	Training and Certification ¹	Equipment Costs	Purchase and Train a Canine	Canine Costs ²
1.	EDCT	✓	✓	✓	✓ ³	✓
2.	ATT	✓	✓	✓	✓	✓
3.	Mobile Explosives Screening Team	✓		✓ ⁴		

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

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

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

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

Specific Guidance for EDCT

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

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

The grantee will ensure that a written plan or standard operating policy and procedure exists that describes EDCT deployment policy to include visible and unpredictable deterrent efforts and on-call EDCTs rapid response times as dictated by the agency's Standard Operating Policy and Procedures (SOPP). The plan must be made available to DHS upon request.

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

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

The grantee will conduct appropriate training or other canine activities, within view of the public, to increase public awareness of EDCTs and provide a noticeable deterrent to acts which affect public safety or mass transit operations. The grantee will also ensure that such activities include, over a period of time, a presence in operational areas of the mass transit system during peak and off-peak hours. The grantee agrees that EDCTs will be utilized in the field at least 80 percent (80%) of their duty time, annually.

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

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

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

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

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

Equipment

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 <https://www.rkb.us/lists.cfm>. These costs include:

- Personal protection equipment
- Explosive device mitigation and remediation equipment
- Chemical, biological, radiological, nuclear, and high explosive (CBRNE) operational search and rescue equipment, logistical support equipment, reference materials or incident response vehicles, including response watercraft
- Interoperable communications equipment
- Components or systems needed to address flaws in the computerized systems that control generators, switching stations, and electrical substations as well as other emerging threats to infrastructure critical to the U.S. economy
- Detection equipment
- Decontamination equipment
- Medical supplies and limited pharmaceuticals
- Power equipment
- Terrorism incident prevention equipment
- Physical security enhancement equipment

Unless otherwise noted, equipment must be certified that it meets required regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. Equipment must comply with the *Occupational Safety and Health Act* (OSHA) requirement for certification of electrical equipment by a nationally recognized testing

laboratory, and demonstrate compliance with relevant DHS-adopted standards through a supplier's declaration of conformity with appropriate supporting data and documentation per International Organization for Standardization/International Electrotechnical Commission (ISO/IEC) 17050, Parts One and Two. In addition, agencies must have all necessary certifications and licenses for the requested equipment, as appropriate, prior to the request.

A list of applicable standards is found at the following website <https://www.rkb.us/lists.cfm>. DHS adopted standards are found at <http://www.dhs.gov/dhs-implementation-statement-regarding-standard-terms-and-conditions-research-grants>.

In addition, grantees (including sub-grantees) that are using TSGP funds to support emergency communications equipment activities should comply with the *FY 2013 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. *SAFECOM Guidance* can be found at <http://www.safecomprogram.gov/grant/Default.aspx>. Grantees should also comply with IB 386: *Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments*, and consult their FEMA Headquarters Program Analyst on such Investments before developing applications.

Maintenance and Sustainment

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. However, these cannot extend beyond the period of performance of the grant.

Grant funds are intended to support the NPG and fund projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide grantees the ability to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas outlined in the NPG, and (4) shareable through the EMAC. Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

Construction Projects Guidance.

Written approval must be provided by FEMA prior to the use of any TSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, grantees must submit evidence of

approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of Federal interest. Additionally, grantees are required to submit a SF-424C Budget and Budget detail citing the project costs.

Grantees and sub-grantees are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects; compliance with all state and EHP laws and requirements). Projects for which the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 CFR 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six months of the award. Completed EHP review materials for construction and communication tower projects must be submitted no later than 12 months before the end of the period of performance. EHP review materials should be sent to gpdehpinfo@fema.gov.

TSGP recipients using funds for construction projects must comply with the *Davis-Bacon Act*. Grant recipients must ensure that their contractors or sub-contractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor (DOL) wage determinations, is available from the following website at <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

Training

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. Grantees are strongly encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the After Action Report/Improvement Plan (AAR/IP) and addressed in the training cycle.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** to support training-related activities. Reimbursement of these costs should follow the policies of the State or local unit(s) of government or the awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. Dual compensation is unallowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Overtime and Backfill Costs.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of

attendance at FEMA and/or approved training courses and programs are allowable. Reimbursement of these costs should follow the policies of the State or local unit(s) of government or the awarding agency, whichever is applicable. In no case is dual compensation allowable.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related, approved training
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., gloves and non-sterile masks).
- **Funds Used to Develop, Deliver, and Evaluate Training,** including costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the training cycle.

Grantees are encouraged to use existing training rather than developing new courses. When developing new courses, grantees are encouraged to apply the Analysis Design Development and Implementation Evaluation (ADDIE) model of instruction design.

Information on DHS-approved training can found at the following website <http://www.firstrespondertraining.gov/>.

Exercises

TSGP funds may be used for the following exercise activities:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise.** Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any exercise or exercise gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. The applicant's formal written procurement policy or 44 CFR 13.26 – whichever is more stringent – must be followed. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Overtime and Backfill Costs.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time

spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable.

- **Travel.** Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s).
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., gloves, non-sterile masks, and disposable protective equipment).
- **Other Items.** These costs include the rental of space/locations for exercise planning and executing, rental of equipment, etc. Grantees are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities.

Management and Administration

FY 2013 TSGP funds may be used for the following M&A costs:

- Hiring of full-time or part-time staff, including contractors and consultants, to execute the following:
 - Management of the FY 2013 TSGP Award
 - Design and implementation of the FY 2013 TSGP Pre-application submission TSGP management activities and application requirements
 - Meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS data calls
- Travel expenses related to TSGP grant administration
- Acquisition of authorized office equipment, including personal computers or laptops for TSGP purposes.

Indirect Costs

Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant Federal agency) is required at the time of application. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

Unallowable Costs. Specific unallowable costs include:

- Expenditures for items such as general-use software, general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems, and ammunition

- Personnel costs (except as detailed above)
- 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 D - TSGP Investment Justification Template

As part of the TSGP application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including M&A costs. An agency may submit up to 8 IJs per region. Agencies may also submit up to 5 additional IJs for projects related to law enforcement providers that are not part of the organization. Each IJ must demonstrate how a proposed project addresses gaps and deficiencies in current programs and capabilities. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by DHS. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

Investment Heading	
Date	
Applicant	
Region and Urban Area(s) Impacted	
Investment Name	
Investment Amount	\$

I. Background

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

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

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

II. Strategic and Program Priorities

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

II.B. Describe how this investment specifically addresses one or more of the funding priorities identified in the current year grant FOA.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Describe how the investment addresses one or more Funding Priority Areas outlined in this FOA.
Response	

III. Impact

III.A. Discuss how the implementation of this investment will decrease or mitigate risk. Describe how the project offers the highest risk reduction potential at the least cost. Include output and outcome metrics	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) in a cost effective manner by addressing the needs and priorities identified in earlier analysis and review; • Identify the nature of the risk and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event); and • Outline the expected, high-level impacts this investment is expected to attain or achieve if implemented, and potential negative impacts if the investment is not implemented.
Response	

IV. Funding & Implementation Plan

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

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

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

IV.B. Discuss funding resources beyond the current fiscal year grant funding that have been identified and will be leveraged to support the implementation and sustainment of this investment.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Give the expected total life-span for this investment if fully implemented and sustained through completion; • Discuss other funding sources (e.g., non-Federal grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment; • If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested 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.
Response	

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

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

Investment Justification Submission and File Naming Convention

Investment Justifications must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting the IJs as part of the TSGP:

Region_ Agency_IJ Number (Example: Chicago_CTA_IJ_1)

Appendix E - Sample Budget Detail Worksheet

The Budget Detail Worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. Applicants may submit the budget and budget narrative using this form or in the format of choice (plain sheets, agency-generated form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to the applicant's budget may be deleted.

A. Personnel. List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		\$
Total Personnel		\$

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

Name/Position	Computation	Cost
		\$
Total Fringe Benefits		\$

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

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

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

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

Item	Computation	Cost
		\$
Total Equipment		\$

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

Supply Items	Computation	Cost
		\$
Total Supplies		\$

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

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (eight-hour day), and estimated time on the project.

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

Name of Consultant	Service Provided	Computation	Cost
			\$
Subtotal – Consultant Fees			\$

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

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

Item	Location	Computation	Cost
			\$
Subtotal – Consultant Expenses			\$

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. Any sole source contracts must follow the requirements set forth in 44 CFR Section 13.36.

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

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

G. Other Costs. List items (e.g., reproduction, security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage, the cost per square foot for rent, and provide a monthly rental cost and how many months of rental fees are proposed to be charged to the grant.

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

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

Description	Computation	Cost
		\$
	Total Other	\$

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

Description	Computation	Cost
		\$
	Total Indirect Costs	\$

Budget Summary - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

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

Detailed Budget Submission and File Naming Convention

Detailed Budgets must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting detailed budgets as part of the TSGP:

Region_Agency_IJ Number_Budget (Example: Chicago_CTA_IJ _1_Budget)

Appendix F - Security Plan Requirements

The following information regarding security plan requirements is taken from Section 1405(c)(2) from the 9/11 Act.

Security plans should include the following, as appropriate:

- A prioritized list of all items included in the public transportation agency's security assessment that have not yet been addressed
- A detailed list of any additional capital and operational improvements identified by DHS or the public transportation agency and a certification of the public transportation agency's technical capacity for operating and maintaining any security equipment that may be identified in such list
- Specific procedures to be implemented or used by the public transportation agency in response to a terrorist attack, including evacuation and passenger communication plans and appropriate evacuation and communication measures for the elderly and individuals with disabilities
- A coordinated response plan that establishes procedures for appropriate interaction with State and local law enforcement agencies, emergency responders, and Federal officials in order to coordinate security measures and plans for response in the event of a terrorist attack or other major incident;
- A strategy and timeline for conducting training under section 1408 of the 9/11 Act
- Plans for providing redundant and other appropriate backup systems necessary to ensure the continued operation of critical elements of the public transportation system in the event of a terrorist attack or other major incident
- Plans for providing service capabilities throughout the system in the event of a terrorist attack or other major incident in the city or region which the public transportation system serves
- Methods to mitigate damage within a public transportation system in case of an attack on the system, including a plan for communication and coordination with emergency responders
- Other actions or procedures as the Secretary of Homeland Security determines are appropriate to address the security of the public transportation system

Appendix G - Helpful Hints for Applicants

Are the following components included in the application package?

- SF 424, SF 424A, SF 424B, SF LLL
- IJs for projects
- Detailed budgets containing only allowable costs

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

- Do the IJ and the detailed budget only include allowable costs?
 - Are all of the expenses in the detailed budget addressed in the IJ narrative? (for example, a camera equipment budget line item should be addressed in narrative form in the IJ as it pertains to the overall security program)
 - Does the information in the detailed budget align with the budget summary in the IJ narrative?
 - Are planning and design costs to include remediation planning clearly delineated in the budget, as separate from implementation/installation costs? (Planning and design costs may be released before implementation/installation costs, as planning and design costs do not require extensive EHP review.)
- Does the IJ clearly explain how the projects fit into a funding priority area (as identified in Appendix B – *TSGP Priorities*)?
- Does the IJ establish a clear linkage to developing and/or sustaining one or more core capabilities in the NPG?
- Does the IJ discuss how this investment will decrease or mitigate risk?
- Is the cost effectiveness of the project clearly explained in the IJ? How does this project provide a high security return on investment?
- Does the IJ discuss how/if the project can be implemented quickly?
- How does the project reflect security discussions and mitigation strategies discussed by the RTSWG?
- Are timelines realistic and detailed?
- Are possible hurdles addressed in a clear and concise fashion?
- Does the M&A total no more than five percent (5%) of the total request?