



U.S. DEPARTMENT OF HOMELAND SECURITY

Fiscal Year 2008

INTERCITY PASSENGER RAIL (AMTRAK)

PROGRAM GUIDANCE AND APPLICATION KIT

February 2008



U.S DEPARTMENT OF HOMELAND SECURITY

CONTENTS

INTRODUCTION.....	1
PART I. AVAILABLE FUNDING AND ELIGIBLE APPLICANTS	3
PART II. APPLICATION EVALUATION PROCESS	5
PART III. PROGRAM REQUIREMENTS.....	7
APPENDIX A. ALIGNMENT WITH THE NATIONAL PREPAREDNESS ARCHITECTURE.....	A-1
APPENDIX B. TSGP ALLOWABLE EXPENSES.....	B-1
APPENDIX C. <i>GRANTS.GOV</i> QUICK-START INSTRUCTIONS	C-1
APPENDIX D. INVESTMENT JUSTIFICATION.....	D-1
APPENDIX E. SAMPLE BUDGET DETAIL WORKSHEET	E-1
APPENDIX F. AWARD AND REPORTING REQUIREMENTS	F-1
APPENDIX G. ADDITIONAL RESOURCES.....	G-1

INTRODUCTION

Intercity Passenger Rail (Amtrak) Supplemental is a component of the Transit Security Grant Program (TSGP) that constitutes the Department of Homeland Security's (DHS) Fiscal Year 2008 focus on infrastructure protection activities. The Intercity Passenger Rail (Amtrak) Supplemental is one tool among a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the Nation's critical infrastructure against risks associated with potential terrorist attacks.

The purpose of this package is to provide: (1) an overview of the FY 2008 TSGP for the National Passenger Railroad Corporation (Amtrak) grant program; and (2) the formal grant guidance and application materials needed to apply for funding under the program. Also included is an explanation of DHS management requirements for implementation of a successful application.

A. Federal Investment Strategy

The Intercity Passenger Rail (Amtrak) Supplemental is an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness, including the security of America's critical infrastructure. The program implements objectives addressed in a series of post-9/11 laws, strategy documents, plans, Executive Orders, and Homeland Security Presidential Directives. Of particular significance is the National Preparedness Guidelines and its associated work products, including the National Infrastructure Protection Plan (NIPP) and its transportation sector-specific plans and Executive Order 13416 (Strengthening Surface Transportation Security). The National Preparedness Guidelines is an all-hazards vision regarding the Nation's four core preparedness objectives: to prevent, protect against, respond to, and recover from terrorist attacks and catastrophic natural disasters.

The National Preparedness Guidelines defines a vision of what to accomplish, and provides a set of tools to forge a unified national consensus about what to do and how to work together at the Federal, State, Local, and Tribal levels. Private sector participation is integral to the Guidelines' success. It outlines 15 scenarios of terrorist attacks or national disasters that form the basis of much of the Federal exercise and training regime. In addition, it identifies 37 critical target capabilities that DHS is making the focus of key investments with State, Local and Tribal partners.

DHS expects its critical infrastructure partners to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations and investment to the degree practicable. Our funding priorities outlined in this document reflect the National Preparedness Guidelines' priority investments as appropriate. Programmatic requirements or priority investment categories reflecting the national preparedness architecture for this grant program are identified below.

B. Funding Priorities

The Department has identified the following seven specific priorities as the highest priority selection criteria for the FY 2008 TSGP for Amtrak:

- 1. Protection of high risk/high consequence underwater and underground rail assets.** Many of the Nation's largest transit systems have significant track miles and support large concentrations of riders in rail systems that run underground and underwater. It is the highest priority of the FY 2008 TSGP to support measures that protect underground rail system assets—particularly underwater assets—from terrorist attacks by improvised explosive devices (IEDs) or other threats that can damage or significantly breach such assets. Active coordination and regular testing of emergency evacuation plans can greatly reduce loss of life in serious incidents.
- 2. Planning.** Planning for how to prevent, protect against, respond to, and recover from acts of terrorism is a core component in an agency's security framework. Vulnerability assessments, security plans, and risk mitigation plans all work to help identify focus areas that must be addressed to remediate risk, including action plans for how those identified risks will be addressed.
- 3. Targeted counter-terrorism training for key front line staff.** Effective employee training programs address individual employee responsibilities and provide basic security awareness to front line employees, including equipment familiarization, assessing and reporting incident severity, appropriate responses to protect self and passengers, use of protective devices, crew communication and coordination, and incident evacuation procedures. For example, well trained and rehearsed operators ensure that if an underground station has suffered a chemical agent attack, trains—and the riding public—are quickly removed from the scene, thus reducing their exposure and risk.
- 4. Use of visible, unpredictable deterrence.** Visible and unpredictable security activities instill confidence and enhance security awareness in the riding public, and deter attacks by disrupting the ability of terrorists to prepare for and execute attacks. Examples include the acquisition, training, and certification of explosives detection canine teams; training of law enforcement, security officials and front-line employees in behavioral pattern recognition; and procurement of mobile detection or screening equipment to identify the presence of explosives, residue, and other suspicious items on persons or in packages.
- 5. Emergency preparedness drills and exercises.** In order to assess and enhance a system's capability to respond under a variety of serious incidents, transit agencies are encouraged to maintain an emergency drill and exercise program to test key operational protocols including coordination with first responders. The TSGP can support exercises related to terrorist attack scenarios (such as IED or CBRNE attacks), natural disasters, and other emergencies. Such programs can take various forms, from table top exercises to

more comprehensive multi-agency full-scale exercises. TSGP funds also support rigorous after action assessments to identify further system improvements.

6. **Public awareness and preparedness campaigns.** A public awareness and preparedness program can employ announcements and postings in stations, transit vehicles, or other media to ensure awareness of heightened alert or threat conditions. Effective awareness programs enlist the public in becoming an informal part of an agency security plan. They should explain specific actions the public can take to contribute to strengthening system security.¹
7. **Protection of other high risk/high consequence assets and systems that have been identified through system wide risk assessments.** It is imperative that transit agencies focus countermeasure resources on their highest risk, highest consequence areas or systems. The TSGP will particularly support the development and enhancement of capabilities to prevent, protect against, and respond to terrorist attacks employing chemical, biological, radiological, nuclear, and explosive (CBRNE) weapons, particularly IEDs. For example, a system wide assessment may highlight the need to segregate critical security infrastructure from public access. One solution is an integrated intrusion detection system, which controls access to these critical facilities or equipment. Transit systems should consider security technologies to reduce the burden on security manpower. Using smart CCTV systems in remote locations could free up security patrols to focus on more high risk areas.

C. Allowable Expenses

Specific investments made in support of the funding priorities discussed above generally fall into one of the following five allowable expense categories:

1. Planning
2. Equipment Acquisitions
3. Training
4. Exercises
5. Management and Administration

Appendix B provides additional detail about each of these five allowable expense categories, and identifies several specific unallowable costs.

¹ For more information about citizen preparedness, see the Citizen Corps website at <http://www.citizen corps.gov/>.

PART I

AVAILABLE FUNDING AND ELIGIBLE APPLICANTS

A. Available Funding

Although the DHS risk formula would allocate approximately \$16,600,000 to Amtrak based on system attributes, the FY 2008 TSGP for intercity passenger rail will provide \$25,000,000 per Congressional earmark.

B. Selection of Eligible Applicants

The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under FY 2008 Intercity Passenger Rail (Amtrak).

DHS will partner with Amtrak to develop security enhancements for eligible intercity passenger rail operations along the Northeast Corridor (service between Washington, DC and Boston, Massachusetts), in Chicago, and at key, high risk Urban Areas in Amtrak's West Coast Service Area (Seattle, Portland, Sacramento, Oakland, San Jose, Los Angeles, and San Diego). In addition, the FY 2008 TSGP will allow for expansion of these protective activities to address security vulnerabilities at Amtrak facilities located within the following key high threat metropolitan areas in the southeastern and southwestern United States: Kansas City, St. Louis, Denver, the Norfolk Area, Charlotte, Atlanta, Jacksonville, Ft. Lauderdale, Miami, Orlando, Tampa, Memphis, New Orleans, Oklahoma City, Dallas/Fort Worth, San Antonio, Houston, El Paso, and Tucson.

Amtrak is strongly encouraged to fully integrate and coordinate with regional transit entities in the conduct of developing security enhancements.

PART II

APPLICATION EVALUATION PROCESS

This section summarizes the roles and responsibilities within DHS for managing the FY 2008 TSGP, the overall timetable for the FY 2008 program, and core process and priorities that will be used to assess applications under the FY 2008 TSGP. The next section provides detailed information about specific application requirements and the process for submission of applications.

A. TSGP Program Management: Roles and Responsibilities

Within DHS, TSA by law has the lead for managing the Department's security oversight and security programs for the transit and intercity passenger railroad industry. TSA provides rail system subject matter expertise within DHS and determines the primary security architecture for the TSGP program. Its subject matter experts have the lead in crafting all selection criteria associated with the application review process. TSA coordinates daily with the DHS Chief Intelligence Officer to review intelligence reporting and craft intelligence risk assessments related to the transportation sector.

FEMA has the lead for designing and operating the administrative mechanisms needed to manage the Department's core grant programs, including this grant program. In short, FEMA is responsible for ensuring compliance with all relevant Federal grant management requirements and delivering the appropriate grant management tools, financial controls, audits and program management discipline needed to support the TSGP. While TSA and FEMA of necessity interface directly with Amtrak, TSA will prioritize specific investments and set security priorities associated with the TSGP.

Effective management of the TSGP entails a partnership within DHS. In order to make this partnership seamless to Amtrak, upon award of an FY 2008 TSGP grant, a primary account manager from TSA and FEMA will be identified who will function as turnkey facilitators. They will meet directly with Amtrak officials as needed, and will coordinate with each other routinely to facilitate DHS support. These individuals will be the one-stop TSGP account managers for Amtrak.

B. Overview – Application Deadline and Review Process

Completed applications must be submitted to DHS via grants.gov (see below for details about this Federal grants application tool) *no later than 11:59 PM EDT, March 17, 2008*. DHS will evaluate and act on applications within 60 days following close of the application period.

Amtrak must comply with all administrative requirements described herein—including Investment Justifications, budgets and application process requirements. Having met all administrative requirements, the application will be evaluated based on:

- 1. Funding priorities.** Projects will be evaluated and prioritized based on the extent to which they address the specific funding priorities contained in the *FY 2008 Intercity Passenger Rail (Amtrak) Program Guidance and Application Kit*.
- 2. Cost effectiveness.** Projects will be evaluated and prioritized on the expected impact on security relative to the investment.
- 3. Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk.
- 4. Sustainability without additional Federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.
- 5. Timelines.** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes.

C. Grant Application Support from DHS

During the application and award periods, DHS will identify multiple opportunities for a cooperative dialogue between the Department and Amtrak. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the *FY 2008 Intercity Passenger Rail (Amtrak) Program Guidance and Application Kit*, and to help in submission of projects that will have the highest impact on reducing risks for Amtrak and its customers.

PART III

PROGRAM REQUIREMENTS

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

A. General Program Requirements

Amtrak may apply for and receive a direct award under the terms outlined in the *FY 2008 Intercity Passenger Rail (Amtrak) Program Guidance and Application Kit*. The award will be executed through a cooperative agreement with Amtrak.

1. **Management and Administration limits.** Amtrak may retain a maximum of three percent (3%) of the funds awarded for management and administrative purposes associated with the award.
2. **Cost Share Requirement.** The maximum DHS cost share for projects is as follows:
 - a. **Planning, Equipment, and Management and Administration Activities:** The maximum share of total project cost which may be applied against the DHS grant is 75%. For example, if the total project cost is \$100,000, the maximum DHS grant award is \$75,000 with the grantee required to provide the remaining 25%, or \$25,000, of the project cost.
 - b. **Training and Exercises:** Maximum share of total project cost which may be applied against the DHS grant is 100%.

Amtrak must match DHS grant funds with an amount of funds from other sources (cash or in-kind) equal to the non-DHS grant share of total project costs.

B. Application Requirements

The following steps must be completed using the online [grants.gov](http://www.grants.gov) system to ensure a successful application submission:

1. **Application via [grants.gov](http://www.grants.gov).** DHS participates in the Administration's e-government initiative. As part of that initiative, Amtrak must file its applications using the Administration's common electronic "storefront" -- [grants.gov](http://www.grants.gov). Amtrak must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.
2. **Application deadline.** Completed applications must be submitted to [grants.gov](http://www.grants.gov) no later than **11:59 PM EDT, March 17, 2008**.

- 3. Valid Central Contractor Registry (CCR).** The application process also involves an updated and current registration by the applicant and the applicant's Business Point of Contact through the CCR. Amtrak must confirm CCR registration at <http://www.ccr.gov>, as well as apply for FY 2008 funding through grants.gov

While registration with grants.gov and the CCR is a one-time process, new applicants are strongly encouraged to complete their registrations at least ten (10) days prior to the **March 17, 2008** application deadline.

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

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

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

- 5. Project period.** The project period will be for a period not to exceed 36 months.
- 6. DUNS number.** Amtrak must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within grants.gov and for CCR Registration.
- 7. Investment Justifications.** As part of the application process, Amtrak must develop a formal Investment Justification that addresses each initiative being proposed for funding. The Investment Justification must demonstrate how each proposed project addresses gaps and deficiencies in current programs and capabilities. Through the Investment Justification, Amtrak will describe specific funding and implementation approaches that will help achieve goals and objectives outlined in the Security Emergency Preparedness Plan (SEPP). Amtrak will use the Investment Justification to request funding it wishes to allocate to those goals and objectives from the SEPP they have identified as priorities in the near-term.

Amtrak may propose **up to 12** investments within its Investment Justification. After submission, the Investment Justification will be reviewed by an interagency review board to determine whether proposed investments address the funding priorities of this grant program. Additional information for Investment Justifications may be found in Appendix D.

8. **Detailed budget.** Amtrak must also provide a detailed budget for the funds requested. 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 and any appropriate narrative. The budget should also demonstrate the match requirement, where appropriate. Additional details and templates for the Detailed Budget may be found in Appendix E.
9. **Coordinate with Applicable Regional Transit Security Planning Efforts.** Amtrak is required to demonstrate that its planning process and the allocation of funds are fully coordinated with regional planning efforts in the major markets it serves.

10. Standard financial requirements.

10.1 -- Non-supplanting certification. This certification affirms that grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

10.2 -- Assurances. Assurances forms (SF-424B and SF-424D) can be accessed at http://www07.grants.gov/agencies/approved_standard_forms.jsp. It is the responsibility of the recipient of the Federal funds to understand fully and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

10.3 -- Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement. This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 44 CFR Part 17, which contains provisions for *Government-wide Debarment and Suspension (Non-procurement)* and *Government-wide Requirements for Drug-Free Workplace (Grants)*; and 44 CFR part 18, *the New Restrictions on Lobbying*. All of these can be referenced at:

http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html
http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html

11. Technology requirements.

11.1 -- National Information Exchange Model. DHS requires all grantees to use the latest National Information Exchange Model (NIEM) specifications and guidelines regarding the use of Extensible Markup Language (XML) for all awards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>.

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

12. Administrative requirements.

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

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

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

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

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000 et. seq.* – no person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance.
- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance.
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* –discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – no person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of or subjected to discrimination under any program or activity receiving Federal financial assistance.

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

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

12.5 -- Integrating individuals with disabilities into emergency planning.

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

DHS has several resources available to assist emergency managers in planning and response efforts related to people with disabilities and to ensure compliance with Federal civil rights laws:

- **Guidelines for Accommodating Individuals with Disabilities in Disaster:** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center:** A web-based "Resource Center" that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The "Resource Center" is available at <http://www.disabilitypreparedness.gov>.
- *Lessons Learned Information Sharing (LLIS)* resource page on **Emergency Planning for Persons with Disabilities and Special Needs:** A true one-stop resource shop for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

LLIS.gov is available to emergency response providers and homeland security officials from the local, state, and federal levels. To access the resource page, log onto <http://www.LLIS.gov> and click on *Emergency Planning for Persons with Disabilities and Special Needs* under *Featured Topics*. If you meet the eligibility requirements for accessing Lessons Learned Information Sharing, you can request membership by registering online.

12.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts. In accordance with the FY 2008 DHS Appropriations Act, all FY 2008 grant funds must comply with the following two requirements:

- None of the funds made available through this program shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et seq), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).
- None of the funds made available through this program shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

12.7 -- Environmental and Historic Preservation Compliance

FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA funding. FEMA, through its Environmental and Historic Preservation (EHP) Program, engages in a review process to ensure that FEMA-funded activities comply with various Federal laws, including the National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, and Executive Orders on Floodplains (11988), Wetlands (11990) and Environmental Justice (12898). The goal of these compliance requirements is to protect our nation's water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to children and low-income and minority populations.

The grantee shall provide any information requested by FEMA to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact EHP resources, including but not limited to communications towers, physical security enhancements, new construction, and modifications to buildings and structures that are 50 years old or older, cannot be initiated until FEMA has completed its review. Grantees may be required to provide detailed information about the project, including the following: location (street address or map coordinates); description of the project including any associated ground disturbance work, extent of modification of existing structures, construction equipment to be used, staging areas, access roads, etc.; year the existing facility was built; natural, biological, and/or cultural resources present in the project vicinity; visual documentation such as site and facility photographs, project plans, maps, etc.; and possible project alternatives.

For certain types of projects, FEMA must consult with other Federal and State agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for protecting natural and cultural resources. For projects with the potential to have significant adverse effects on the environment and/or historic properties, FEMA's EHP review and consultation may result in a substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects.

Because of the potential for significant adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the costs and resources necessary for preparing such documents, as well as for the costs of any treatment or mitigation measures necessary to address potential adverse impacts.

Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

For more information on FEMA's EHP requirements, Amtrak should refer to FEMA's Information Bulletin #271, *Environmental Planning and Historic Preservation Requirements for Grants*.

C. Application Checklist

Amtrak must complete the following:

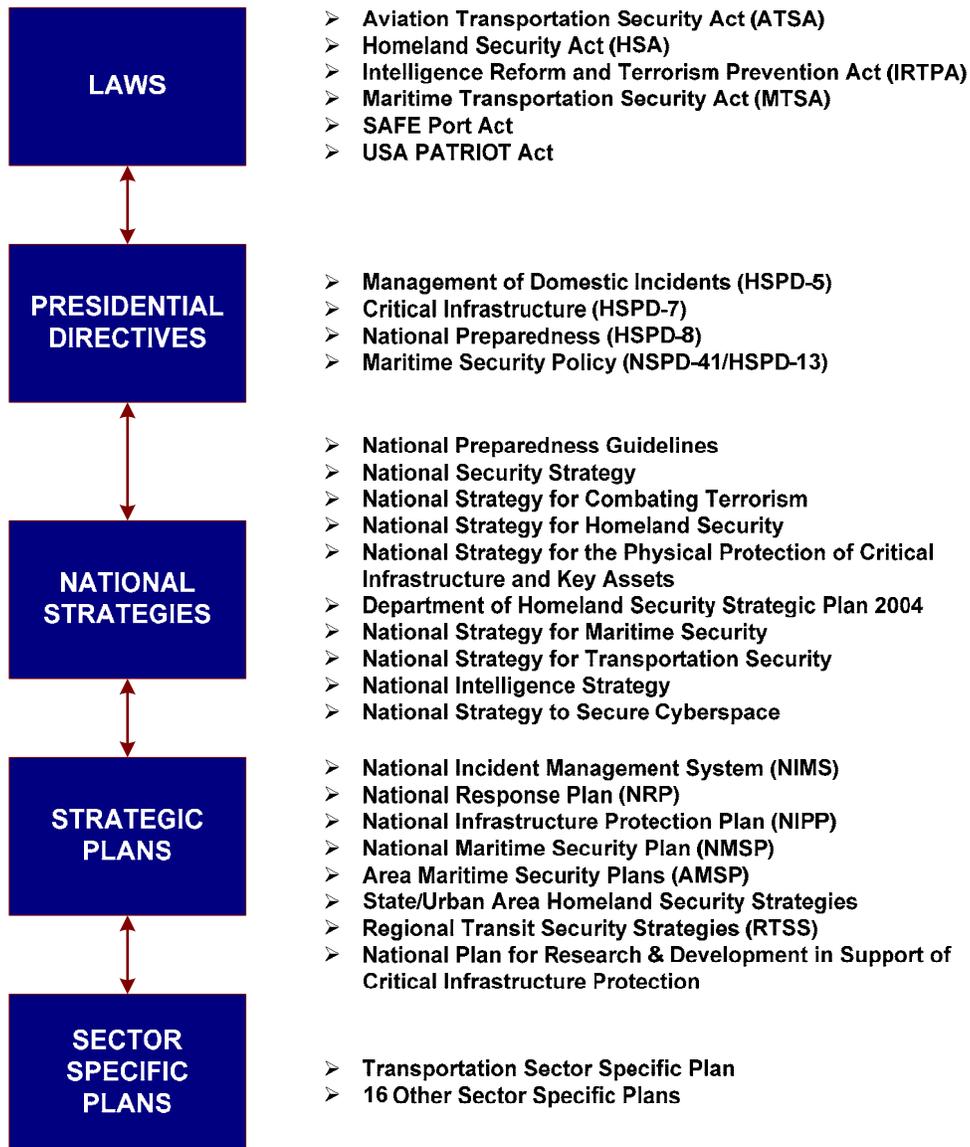
- 1. SF-424 Grant application with certifications (through [grants.gov](https://www.grants.gov))**
 - Non-supplanting certification
 - Assurances
 - Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement
- 2. DUNS number (through [grants.gov](https://www.grants.gov) form)**
- 3. Investment Justification (through [grants.gov](https://www.grants.gov) file attachment)**
 - See Appendix D.
- 4. Detailed Budget (through [grants.gov](https://www.grants.gov) file attachment)**
 - See Appendix E.

Appendix A

Alignment with the National Preparedness Architecture

Figure 1, below, graphically summarizes key elements of the national preparedness architecture.

**Figure 1.
Laws, Strategy Documents, Directives and Plans that Impact the Grant Programs**



Appendix B

TSGP Allowable Expenses

A. Overview

Specific investments made in support of the funding priorities discussed above generally fall into one of the following five categories:

1. Planning
2. Equipment Acquisitions
3. Training
4. Exercises
5. Management and Administration

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

1. Planning Costs. FY 2008 Intercity Passenger Rail (Amtrak) program funds may be used for the following types of planning activities:

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

2. Equipment Acquisition Costs. FY 2008 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
- CBRNE operational search and rescue equipment, logistical support equipment, reference materials or incident response vehicles, including response watercraft

- Interoperable communications equipment, including efforts to address flaws in the computerized systems that control generators, switching stations, and electrical substations as well as other emerging threats to infrastructure critical to 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 OSHA requirement for certification of electrical equipment by a nationally recognized testing laboratory, and demonstrate compliance with relevant DHS-adopted standards through a supplier's declaration of conformity with appropriate supporting data and documentation per ISO/IEC 17050, parts 1 and 2. In addition, agencies must have all necessary certifications and licenses for the requested equipment, as appropriate prior to the request.

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

3. Training Costs. FY 2008 TSGP funds may be used for the following training activities:

- **Training workshops and conferences.** Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.
- **Certain full or part-time staff and contractors or consultants.** Full or part-time staff may be hired to support training-related activities. The services of contractors or consultants may also be procured by the State in the design, development, conduct and evaluation of CBRNE training. The applicant's formal written procurement policy or the Federal Acquisition Regulations must be followed.
- **Overtime and backfill costs.** Payment of overtime expenses will be for work performed by award or sub-award employees in excess of the established work week (usually 40 hours). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that it is

DHS approved training. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act, Workers' Compensation and Unemployment Compensation.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending DHS-approved courses or DHS-sponsored technical assistance programs.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).
- **Other items.** These costs may include the rental of space/locations for planning and conducting training, badges, and similar materials.

4. Exercise Costs. FY 2008 TSGP funds may be used for the following exercise activities:

- **Exercise planning workshop.** Grant funds may be used to plan and conduct an exercise planning workshop, to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.
- **Certain full or part-time staff and contractors or consultants.** Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the state or the awarding agency, whichever is applicable. The services of contractors or consultants may also be procured to support the design, development, conduct and evaluation of CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations must be followed.
- **Overtime and backfill costs.** Overtime and backfill costs associated with the design, development and conduct of CBRNE exercises are allowable expenses. Payment of overtime expenses will be for work performed by award or sub-award employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is a DHS sponsored exercise. These costs are allowed only to the

extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to the Federal Insurance Contributions Act, Workers' Compensation and Unemployment Compensation.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s) or for attending DHS-approved courses or DHS-sponsored technical assistance programs.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **Other Items.** These costs may include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.

5. Management and Administration (M&A) costs. FY 2008 TSGP funds may be used for the following M&A costs:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of the FY 2008 TSGP or the design, requirements, and implementation of the TSGP
- Hiring of full-time or part-time staff, contractors or consultants and M&A expenses related to pre-application submission management activities and application requirements or meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS data calls
- Travel expenses
- Acquisition of authorized office equipment, including personal computers or laptops

B. Unallowable Costs

Specific unallowable costs include:

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition
- Personnel costs (except as detailed above)
- Activities unrelated to the completion and implementation of the TSGP
- Other items not in accordance with the AEL or previously listed as allowable costs

Appendix C

Grants.Gov Quick-Start Instructions

DHS participates in the Bush Administration’s e-government initiative. As part of that initiative, all applicants must file their applications using the Administration’s common electronic “storefront” – <http://www.grants.gov>.

Application attachments submitted via [grants.gov](http://www.grants.gov) can be made in any type of format (e.g., Microsoft Word (*.doc), Microsoft Excel (*.xls), PDF (*.pdf), and text (*.txt)). Use the CFDA number listed in the relevant program guidance section of this document in [grants.gov](http://www.grants.gov).

This Appendix is intended to provide guidance on the various steps and activities associated with filing an application using [grants.gov](http://www.grants.gov).

Step 1: Registering

Registering with [grants.gov](http://www.grants.gov) is a one-time process; however, it **could take 3-5 business days to receive registration validation, confirmation, and receipt of a user name and password**. It is highly recommended that the applicant start the registration process as early as possible to prevent delays in submitting an application package to DHS by the deadline specified. While registration is pending, the applicant may continue with steps 2, 3, and 4 of these instructions. Registration must be complete in order to be able to submit (step 5) and track (step 6) an application.

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

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

- Click the “e-Business Point of Contact” option and click the “GO” button on the bottom right of the screen. If you have already registered with [grants.gov](http://www.grants.gov), you may log in and update your profile from this screen.
- To begin the registration process, click the “Register your Organization [Required]” or “Complete Registration Process [Required]” links. You may print a registration checklist by accessing www.grants.gov/assets/OrganizationRegCheck.pdf.

2. DUNS number. You must first request a Data Universal Numbering System number. Click “Step 1. Request a DUNS Number.” If you are applying as an individual, please skip to “Authorized Organization Representative and Individuals.” If you are applying on behalf of an organization that already has a DUNS number, please proceed to “Step 2. Register with Central Contractor Registry (CCR).” You may obtain a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1–866–705–5711.

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

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

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

- Go to <http://www.ccr.gov> or click on the CCR icon in the middle of the screen to begin the registration process. To see if your organization is already registered, click “Search CCR” at the top left side of the screen. Search entries must be exact to accurately search the database. If your organization is already registered, you can scroll down and see who the e-Business point of contact is for your agency. If your organization is not already registered, return to the CCR home page and click “Start New Registration” at the top left of the screen.
- If you have problems or questions about the CCR registration process, please contact the CCR Assistance Center at (888) 227–2423.
- Once your registration is complete, you will receive an e-mail with a Trading Partner Identification Number (TPIN) and Marketing Partner Identification Number (MPIN) number. You will need the MPIN number to register with grants.gov. If your organization is already registered with the CCR, you will need to obtain the MPIN number from your e-Business POC.

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

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

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

- Go to www.grants.gov and click on the “Get Started” tab at the top of the screen.
- Click the “Authorized Organization Representative (AOR)” option and click the “GO” button to the bottom right of the screen. If you are applying as an individual, click the “Individuals” option and click the “GO” button to the bottom right of the screen.
- If you have previously registered as an AOR, you may start searching for this grant opportunity from this page. Otherwise, you must complete the first-time registration by clicking “Complete First-Time Registration [Required].” You also may click on “Review Registration Checklist” and print a checklist for the following steps (see www.grants.gov/assets/AORRegCheck.pdf).
- Individuals may click the “registration checklist” for help in walking through the registration process.

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

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

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

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

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

Once organization approval is complete, you will be able to submit an application and track its status.

Step 2: Downloading the Application Viewer.

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

- From the [grants.gov](http://www.grants.gov) home page, select the “Apply for Grants” tab at the top of the screen.
- Under “Apply Step 1: Download a Grant Application Package and Applications Instructions,” click the link for the PureEdge Viewer (<http://www.grants.gov/DownloadViewer>). This window includes information about computer system requirements and instructions for downloading and installation.

If you are a Macintosh user, please read the PureEdge Support for Macintosh white paper available at

www.grants.gov/GrantsGov_UST_Grantee!/SSL!/WebHelp/MacSupportforPureEdge.pdf.

- Scroll down and click on the link to download the PureEdge Viewer (www.grants.gov/PEViewer/ICSViewer602_grants.exe).
- You will be prompted to save the application. Click the “Save” button and the “Save As” window opens. Select the location where you would like to save PureEdge Viewer and click the “Save” button.
- A window appears to show the progress of the download. When the downloading is complete, click to close the dialog box.

- To install the PureEdge Viewer, locate the file on your computer and click to open it. When you are prompted to run the file, click “RUN.” Click “Yes” to the prompt to continue with the installation. The ICS InstallShield Wizard extracts the necessary files and takes you to the “Welcome” page.
- Click “Next” to continue.
- Read the license agreement and click “Yes” to accept the agreement and continue the installation process. This takes you to the “Customer Information” screen.
- Enter a User Name and a Company Name in the designated fields and click “Next.”
- The “Choose Destination Location” window prompts you to select the folder in which PureEdge Viewer will be installed. To save the program in the default folder, click “Next.” To select a different folder, click “Browse.” Select the folder in which you would like to save the program, click on “OK,” then click “Next.”
- The next window prompts you to select a program folder. To save program icons in the default folder, click “Next.” To select a different program folder, type a new folder name or select one from the list of existing folders, then click “Next.” Installation will begin.
- When installation is complete, the “InstallShield Wizard Complete” screen will appear. Click “Finish.” This will launch the “ICS Viewer Help Information” window. Review the information and close the window.

Step 3: Downloading an Application Package.

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

- From the [grants.gov](https://www.grants.gov) home page, select the “Apply for Grants” tab at the top of the screen.
- Click “Apply Step 1: Download a Grant Application Package and Application Instructions.”
- Enter the CFDA number for this announcement, **97.075**. Then click “Download Package.” This will take you to the “Selected Grants Application for Download” results page.
- To download an application package and its instructions, click the corresponding download link below the “Instructions and Application” column.

- Once you select a grant application, you will be taken to a “Download Opportunity Instructions and Application” screen to confirm that you are downloading the correct application. If you would like to be notified of any changes to this funding opportunity, enter your e-mail address in the corresponding field, then click the “Submit” button.
- After verifying that you have downloaded the correct opportunity information, click the “Download Application Instructions” button. This will open a PDF of this grant solicitation. You may print the solicitation or save it to your computer by clicking either the print icon at the top tool bar or the “File” button on the top tool bar. If you choose to save the file, click on “Save As” and save to the location of your choice.
- Click the “Back” Navigation button to return to the “Download Opportunity Instructions and Application” page. Click the “Download Application Package” button. The application package will open in the PureEdge Viewer.
- Click the “Save” button to save the package on your computer. Because the form is not yet complete, you will see a prompt that one or more fields may be invalid. You will complete these fields in step 4, but for now, select “Yes” to continue. After you click “Yes,” the “Save Form” window will open.
- Save the application package to your desktop until after submission. Select a name and enter it in the “Application Filing Name” field. Once you have submitted the application through grants.gov, you may then move your completed application package to the file location of your choice.
- Click the “Save” button. If you choose, you may now close your Internet browser and complete your application package offline by double clicking the icon on your desktop. You do not have to be connected to the Internet to complete the application package in step 4 below.

Step 4: Completing the Application Package.

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

- Locate the application package you saved on your computer. When you open the package, it will be in PureEdge Viewer. You may save your application at any time by clicking on the “Save” button at the top of the screen.
- Enter a name for your application package in the “Application Filing Name” field. This can be a name of your choice.

- Open and complete all the mandatory and optional forms or documents. To complete a form, click to select the form, and then click the “Open” button. When you open a required form, the mandatory fields will be highlighted in yellow. If you enter incomplete information in a mandatory field, you will receive an error message or the field will turn red, indicating a change needs to be made.
- Mandatory forms include the: (1) Application for Federal Assistance (SF-424); (2) Assurances for Non-Construction Programs (SF-424B); and (3) Disclosure of Lobbying Activities (SF-LLL). These forms can also be viewed at <http://apply.grants.gov/agency/FormLinks?family=7>. Other mandatory forms are identified in Section IV.
- When you have completed a form or document, click the “Close Form” button at the top of the page. Your information will automatically be saved.
- Next, click to select the document in the left box entitled “Mandatory Documents.” Click the “=>” button to move the form or document to the “Mandatory Completed Documents for Submission” box to the right.
- Some mandatory documents will require you to upload files from your computer. To attach a document, select the corresponding form and click “Open.” Click the “Add Mandatory Attachment” button to the left. The “Attach File” box will open. Browse your computer to find where your file is located and click “Open.” The name of that file will appear in the yellow field. Once this is complete, if you would like to attach additional files, click on the “Add Optional Attachment” button below the “Add Mandatory Attachment” button.
- An “Attachments” window will open. Click the “Attach” button. Locate the file on your computer that you would like to attach and click the “Open” button. You will return to the “Attach” window. Continue this process until you have attached all the necessary documents. You may attach as many documents as necessary.
- Once you have finished, click the “Done” button. The box next to the “Attach at Least One Optional Other Attachment” will now appear as checked.
- *Note:* the name of these buttons will vary depending on the name of the form you have opened at that time; i.e., Budget Narrative, Other Attachment, and Project Narrative File.
- To exit a form, click the “Close” button. Your information will automatically be saved.

Step 5: Submitting the Application.

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

- When you are ready to submit your final application package, the “Submit” button at the top of your screen will be enabled. This button will not be activated unless all mandatory data fields have been completed. When you are ready to submit your application, click on “Submit.” This will take you to a “Summary” screen.
- If your “Submit” button is not activated, then click the “Check Package for Errors” button at the top of the “Grant Application Package” screen. PureEdge Viewer will start with the first form and scan all the yellow fields to make sure they are complete. The program will prompt you to fix one error at a time as it goes through the scan. Once there are no more errors, the system will allow you to submit your application to grants.gov.
- Review the application summary. If you wish to make changes at this time, click “Exit Application” to return to the application package, where you can make changes to the forms. To submit the application, click the “Sign and Submit Application” button.
- This will take you to a “Login” screen where you will need to enter the user name and password that you used to register with grants.gov in “Step 1: Registering.” Enter your user name and password in the corresponding fields and click “Login.”
- Once authentication is complete, your application will be submitted. Print this confirmation screen for your records. You will receive an e-mail message to confirm that the application has been successfully uploaded into grants.gov. The confirmation e-mail will give you a grants.gov tracking number, which you will need to track the status of your application. The confirmation e-mail will go to the e-Business POC; therefore, if you are submitting on behalf of someone else, be sure the e-Business POC is aware of the submission and that a confirmation e-mail will be sent.
- When finished, click the “Close” button.

Step 6: Tracking the Application.

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

- **Validated.** This means your application has been scanned for errors. If no errors were found, it validates that your application has successfully been submitted to [grants.gov](https://www.grants.gov) and is ready for the agency to download your application.
- **Received by Agency.** This means our agency DHS downloaded your application into our electronic Grants Management System (GMS) and your application is going through our validation process to be successfully received on our end.
- **Agency Tracking Number Assigned.** This means our GMS did not find any errors with your package and successfully downloaded your application into our system.
- **Rejected With Errors.** This means your application was either rejected by [grants.gov](https://www.grants.gov) or GMS due to errors. You will receive an e-mail from [grants.gov](https://www.grants.gov) customer support, providing details of the results and the next steps required. Most applications are rejected because: (1) a virus was detected; (2) you are using a user name and password that has not yet been authorized by the organization’s e-Business POC; or (3) the DUNS number you entered on the SF-424 form does not match the DUNS number that was registered in the CCR for this organization.

If you experience difficulties at any point during this process, please call the [grants.gov](https://www.grants.gov) customer support hotline at 1–800–518–4726.

Appendix D Investment Justification

A. Investment Justification Overview

As part of the FY 2008 TSGP application process, applicants must develop an Investment Justification that addresses each initiative being proposed for funding. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities.

Amtrak may propose up to 12 investments within their Investment Justification. A separate Investment Justification must be submitted for each proposed project.

The Investment Justification must demonstrate the ability of Amtrak to provide tangible, physical security enhancements consistent with the purpose of the program and guidance provided by DHS. Amtrak must ensure that the Investment Justification is consistent with all applicable requirements outlined in this application kit. The format below should be followed for these file attachments.

B. Investment Justification Template

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

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

Investment Heading	
Applicant	Amtrak
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
Page Limit	Not to exceed ½ page
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 Amtrak's operating system.	
Response Type	Narrative
Page Limit	Not to exceed 2 pages
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. Describe how this investment specifically addresses one or more of the Amtrak funding priorities identified in the FY 2008 Amtrak Guidance.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<p>Describe how the investment addresses one or more of the following:</p> <ul style="list-style-type: none"> • Protection of high risk/high consequence underwater/underground assets and systems; • Protection of other high risk/high consequence assets and systems that have been identified through system-wide risk assessments; • Use of visible, unpredictable deterrence; • Targeted counter-terrorism training for key front-line staff; • Emergency preparedness drills and exercises; and, • Public awareness and preparedness campaigns.
Response	

II.B. Describe the relevance of the investment to the <i>National Preparedness Guidelines</i>, and the <i>National Strategy for Transportation Security</i>.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Explain how this investment will support one or more of the following <i>National Preparedness Priorities</i>: <ul style="list-style-type: none"> ○ Expanding regional collaboration; ○ Implementing the National Incident Management System and the National Response Plan; ○ Implementing the National Infrastructure Protection Plan; ○ Strengthening information sharing and collaboration capabilities; ○ Enhancing interoperable communications capabilities; and, ○ Strengthening CBRNE detection and response capabilities. • Explain how this investment will support the goals of the <i>National Strategy for Transportation Security</i>.
Response	

II.C. Describe the relevance of this investment to any applicable Regional Transit Security Strategies and applicable State and/or Urban Area Homeland Security Strategy.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	Describe any linkages between this Investment and applicable regional planning efforts.
Response:	

III. Impact

III.A. Discuss the anticipated impacts of this investment and how the requested funding will help attain/achieve expected impacts. Consider the areas affected, and other entities (smaller transit systems, jurisdictions, disciplines) that could leverage the outcomes and impacts of the solution presented by this investment.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Outline the expected, high-level impacts this investment is expected to attain or achieve if implemented, and potential negative impacts if the investment is not implemented; • Explain at a high level how Amtrak funding will help achieve these impacts. (Do not include specific information as to the amount or type of funding requested. This information should be provided in Section IV.); • Ensure this response links the identified impacts to specific geographic and demographic areas outlined; and, • Ensure this response identifies other transit systems, jurisdictions and disciplines that may benefit from an outcome or a solution presented by this investment.
Key Definitions:	<p><u>Impact</u> refers to the effect that this investment will have on the identified geographic and demographic areas.</p> <p><u>Outcome</u> refers to a tangible result that can be measured and evaluated.</p>
Response	

III.B. Discuss how the implementation of this investment will decrease or mitigate risk.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) by addressing the needs and priorities identified in earlier analysis and review; and, • Identify the nature of the risk and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event).
Response	

III.C. Describe what the potential homeland security risks of not funding this investment are.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Consider the risks that already exist and will be more prevalent and/or any new risks that will result if this investment is not funded and implemented; and, • Briefly discuss potential outcomes if this risk is not addressed – explain what vulnerabilities will not be reduced or what potential consequences will not be mitigated.
Response	

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Numeric and Narrative
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> • Identify how the match requirement will be met for non-training and exercises projects. • Complete the chart below to identify the amount of funding Amtrak is requesting for <u>this investment only</u>; • Funds should be requested by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration.); • Amtrak must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and, • Amtrak must indicate whether additional funding (non-FY 2008 Amtrak) 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. See Appendix 5 of this document for a sample format.</i></p>
Response	

The following template illustrates how Amtrak should indicate the amount of FY 2008 TSGP funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY 2008 TSGP funds will be utilized:

	FY 2008 Amtrak Request Total	Other Funding Sources Applied (including Match requirement)	Grand Total
<i>Planning</i>			
<i>Equipment</i>			
<i>Training</i>			
<i>Exercises</i>			
<i>M&A</i>			
Total			

IV.B. Identify up to five potential challenges to the effective implementation of this investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • For each identified challenge, provide a brief description of how the challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low); • The response should focus on the implementation only; • Consider the necessary steps and stages that will be required for successful implementation of the investment; • Identify areas of possible concern or potential pitfalls in terms of investment implementation; and, • Explain why those areas present the greatest challenge to a successful investment implementation.
Response	

IV.C. Describe the management team, including roles and responsibilities, that will be accountable for the oversight and implementation of this investment, and the overall management approach they will apply for the implementation of this investment.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Provide the high-level skill sets (e.g., budget execution, grant administration, geospatial expert, outreach and communication liaison) that members of the management team must possess for the successful implementation and oversight of the investment; • Discuss how those skill sets fulfill the oversight and execution responsibilities for the investment, and how the management roles and responsibilities will be distributed/assigned among the management team; and, • Explain how the management team members will organize and work together in order to successfully manage the investment.
Response	

IV.D. Discuss funding resources beyond FY 2008 Amtrak that have been identified and will be leveraged to support the implementation and sustainment of this investment.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Discuss other funding sources (e.g., non-Amtrak grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment; • If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY 2008 Amtrak funding is sufficient for the implementation and sustainment of this investment; and, • Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance. Investments will also be evaluated on the ability of Amtrak to provide the required cost share or operational equivalent regardless of amount and source.
Response	

IV.E. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. <u>Up to 10</u> milestones may be provided.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> • Only include major milestones that are critical to the success of the investment; • While up to 10 milestones may be provided, Amtrak should only list as many milestones as necessary; • Milestones are for this discrete investment – those that are covered by the requested FY 2008 Amtrak funds and will be completed over the 36-month grant period; • Milestones should be kept to high-level, major tasks that will need to occur; • Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; • Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and, • List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).
Response	

IV.F. Describe the technical implementation plan for this investment. Discuss the innovativeness of the solution proposed.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Define the vision, goals, and objectives for the risk reduction, and summarizes how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols); • Describe the specific needs and/or resource limitations that need to be addressed; • Identify any potential partners and their roles and staffing requirements, and provide information on any existing agreements such as Memoranda of Understanding (MOU); • Identify specific equipment needs (e.g., number of facility cameras, number of security lights, amount of security fencing, etc.) and other details for training, awareness, exercises, and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed materials, number of agencies and staff members involved in exercise planning, execution, and review); • Describe progress made on the security project this investment will be completing, if applicable; and, • Reference use of prior year grant funds, if applicable.
Response	

IV.G. Describe the planned duration for this overall investment. Discuss your long-term sustainability plans for the investment after your FY 2008 Amtrak funds have been expended, if applicable.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Give the expected total life-span for this investment if fully implemented and sustained through completion; • Consider how this investment will be sustained and funded after FY 2008 Amtrak funds are expended, if applicable; • Include information about resource needs (e.g., personnel, processes, and tools), as well as critical governance needs; and, • List critical milestones that are outside of the FY 2008 Amtrak grant period, and how those milestones will be met with the identified funding and resources.
Response	

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

C. Investment Justification Submission and File Naming Convention

Investment Justifications must be submitted with the grant application as a file attachment within [grants.gov](https://www.grants.gov). Applicants must use the following file naming convention when submitting the Investment Justifications as part of the FY 2008 TSGP:

Investment Justification (through [grants.gov](https://www.grants.gov) file attachment)

Name of Applicant_ IJ Number (Example: Amtrak_IJ_#1)

Appendix E Sample Budget Detail Worksheet

OMB Approval No. 1121-0188

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

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

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
----------------------	--------------------	-------------

Note: Personnel costs are only allowable for direct management and administration of the grant award, i.e., preparation of mandatory post-award reports.

TOTAL _____

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. Fringe benefits on overtime hours are limited to FICA, Workman’s Compensation, and Unemployment Compensation.

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
----------------------	--------------------	-------------

TOTAL _____

Total Personnel & 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 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<u>Purpose of Travel</u>	<u>Location</u>	<u>Item</u>	<u>Computation</u>	<u>Cost</u>
--------------------------	-----------------	-------------	--------------------	-------------

TOTAL _____

D. Equipment. List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years. (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.

<u>Item</u>	<u>Computation</u>	<u>Cost</u>
-------------	--------------------	-------------

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

TOTAL _____

E. Supplies. List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) 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.

<u>Supply Items</u>	<u>Computation</u>	<u>Cost</u>
---------------------	--------------------	-------------

TOTAL _____

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 (8-hour day), and estimated time on the project.

<u>Name of Consultant</u>	<u>Service Provided</u>	<u>Computation</u>	<u>Cost</u>
---------------------------	-------------------------	--------------------	-------------

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

Subtotal _____

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

<u>Item</u>	<u>Location</u>	<u>Computation</u>	<u>Cost</u>
-------------	-----------------	--------------------	-------------

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

Subtotal _____

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. A separate justification must be provided for sole source contracts in excess of \$100,000.

<u>Item</u>	<u>Cost</u>
-------------	-------------

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

Subtotal _____

TOTAL _____

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

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
--------------------	--------------------	-------------

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.

TOTAL _____

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

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
--------------------	--------------------	-------------

TOTAL _____

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.

<u>Budget Category</u>	<u>Federal Amount</u>	<u>Non-Federal Amount</u>
------------------------	-----------------------	---------------------------

A. Personnel	_____	_____
B. Fringe Benefits	_____	_____
C. Travel	_____	_____
D. Equipment	_____	_____
E. Supplies	_____	_____
F. Consultants/Contracts	_____	_____
G. Other	_____	_____
Total Direct Costs	_____	_____
H. Indirect Costs	_____	_____
* TOTAL PROJECT COSTS	_____	_____

Federal Request _____

Non-Federal Amount _____

Detailed Budget Submission and File Naming Convention

Investment Justifications must be submitted with the grant application as a file attachment within [grants.gov](https://www.grants.gov). Applicants must use the following file naming convention when submitting Detailed Budgets as part of the FY 2008 TSGP:

Detailed Budget (through [grants.gov](https://www.grants.gov) file attachment)

Name of Applicant_IJ Number_Budget (Example: Amtrak_IJ#1_Budget)

Appendix F Award and Reporting Requirements

Prior to the transition to FEMA, the former Office of Grants and Training preparedness programs followed The Department of Justice's codified regulations, 28 CFR and the OGO Financial Management Guide. The former Office of Grants and Training is now within FEMA and all preparedness programs will follow FEMA's codified regulations, 44 CFR.

A. Grant Award and Obligation of Funds

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award date.”

Obligations are a legal liability to pay, under a grant, subgrant, or contract, determinable sums for services or goods incurred during the grant period. This includes, but is not limited to, amounts of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a given period that will require payment by the grantee during the same or a future period.

Awards made to SAAs under this program carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to units of local governments, combinations of local units, or other specific groups or organizations. The State’s pass-through period must be met within 45 days of the award date. Four requirements must be met to pass-through grant funds:

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

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

B. Post Award Instructions

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

1. Review award and special conditions document. Notification of award approval is made by e-mail through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official. Follow the directions in the notification e-mail and log into GMS to access the award documents. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification e-mail, please contact your Preparedness Officer for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option 3 to obtain the username and password associated with the new award.

If you agree with the terms and conditions, the authorized grantee official should sign and date both the original and the copy of the award document page in Block 19 and initial the special conditions page(s). Retain a copy and fax the documents to (202) 786-9905 Attention: Control Desk or send the original signed documents to:

**U.S. Department of Homeland Security/FEMA
Grant Programs Directorate/Control Desk 4th Floor, TechWorld
500 C St SW
Washington, DC 20472**

If you do not agree with the terms and conditions, contact the Preparedness Officer named in the award package.

2. Complete and return form SF1199A . The SF1199A Direct Deposit Sign-up Form is used to set up direct deposit for grant payments. The SF1199A form can be found at: <http://www.fema.gov/government/grant/administration.shtm>.

NOTE: Please include your vendor number in Box C of the SF1199A form.

3 Access to payment systems. Grantees under this solicitation will use FEMA's online Payment and Reporting System (PARS) to request funds. The website to access PARS is <https://isource.fema.gov/sf269/execute/Login?sawContentMessage=true>. Questions regarding payments or how to access PARS should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to ask-OGO@dhs.gov.

4. Reporting requirements. Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements. Please note that PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

5. Questions about your award? A reference sheet is provided containing frequently asked financial questions and answers. Financial management questions regarding your award should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to ask-OGO@dhs.gov.

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

C. Drawdown and Expenditure of Funds

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

Grant recipients should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grantees may elect to draw down funds up to 120 days prior to expenditure/ disbursement. DHS strongly encourages recipients to draw down funds as close to expenditure as possible to avoid accruing interest.

Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements (Including Sub-awards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations (formerly OMB Circular A-110). These regulations further provide that entities are required to promptly, but at least quarterly, remit interest earned on advances to:

**United States Department of Health and Human Services
Division of Payment Management Services
P.O. Box 6021
Rockville, MD 20852**

The grantee may keep interest earned, up to \$100 per fiscal year for administrative expenses. This maximum limit is not per award; it is inclusive of all interest earned on all Federal grant program funds received.

Although advance drawdown requests are permissible, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 CFR Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds for program purposes.

D. Reporting Requirements

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

FSRs must be filed online through the PARS.

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

2. Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR). Following an award, the grantee will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the CAPR/BSIR reports. The BSIR submission will satisfy the narrative requirement of the CAPR. SAAs are still required to submit a CAPR with a statement in the narrative field that states: “See BSIR.”

The BSIR and the CAPR are 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). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

CAPRs must be filed online through the internet at <http://grants.ojp.usdoj.gov>. Guidance and instructions for completing the CAPR can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

Required submission: BSIR and CAPR (due semi-annually).

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

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

Required submissions: AARs and IPs (as applicable).

4. Financial and Compliance Audit Report. Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of grant assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

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

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

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

E. Monitoring.

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

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

F. Grant Close-Out Process

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

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

Appendix G

Additional Resources

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

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

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

2. Grant Programs Directorate (GPD). FEMA GPD will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation.

For financial and administrative guidance, all state and local government grant recipients should refer to 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Institutions of higher education, hospitals, and other non-profit organizations should refer to 2 CFR Part 215 for the applicable uniform administrative requirements.

Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ask-OGO@dhs.gov.

3. GSA's Cooperative Purchasing Program. The U.S. General Services Administration (GSA) offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.

- Cooperative Purchasing Program
Section 211 of the E-Government Act of 2002, authorized GSA sales of Schedule 70 IT products and services to State and Local Governments through the introduction of Cooperative Purchasing. The Cooperative Purchasing program allows State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing is authorized by Federal law and was enacted when Section 211 of the E-

Government Act of 2002 amended the Federal Property and Administrative Services Act.

Under this program, State and local governments have access to over 3,500 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at <http://www.gsa.gov/cooperativepurchasing>.

- **Disaster Recovery Purchasing Program**

GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State and Local Governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the John Warner National Defense Authorization Act for Fiscal Year 2007 (Public Law 109-364) amends 40 U.S.C. 502 to authorize the GSA to provide State and Local governments the use of ALL Federal Supply Schedules of the GSA for purchase of products and services to be used to *facilitate recovery from a major disaster declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act or to facilitate recovery from terrorism or nuclear, biological, chemical, or radiological attack.*

In the aftermath of emergency events, State or local governments' systems may be disrupted. Thus, use of Federal Supply schedule contracts prior to these events to acquire products or services to be used to facilitate recovery is authorized. State or local governments will be responsible for ensuring that purchased products or services are to be used to facilitate recovery.

GSA provides additional information on the Disaster Recovery Purchasing Program website at <http://www.gsa.gov/disasterrecovery>.

State and local governments can find a list of eligible contractors on GSA's website, <http://www.gsa.elibrary.gsa.gov>, denoted with a  or  symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find the point of contact in your area. For assistance at the national level, contact Tricia Reed at patricia.reed@gsa.gov, 571-259-9921. More information is available at <http://www.gsa.gov/cooperativepurchasing> and <http://www.gsa.gov/disasterrecovery>.

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

In FY 2008, states may receive direct support for three exercises: one Training & Exercise Plan Workshop (T&EPW); one discussion-based exercise; and one operations-based exercise. While states are allowed to submit as many direct support applications as they choose, they are strongly encouraged to give careful thought to which exercises will require the additional assistance that will be provided through the direct support program. Exercises involving cross-border or mass-gathering issues will be counted against the number of direct-support exercises being provided to states.

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

5. Homeland Security Preparedness Technical Assistance Program. The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides technical assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to respond to CBRNE terrorist incidents. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other technical assistance programs.

More information can be found at <http://www.fema.gov/government/grant/index.shtm>.

6. Lessons Learned Information Sharing (LLIS) System. LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, AARs from exercises and actual incidents, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of responders and homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure e-mail and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system. The LLIS website is <https://www.llis.gov>.

7. Information Sharing Systems. DHS encourages all State, regional, local, and Tribal entities using grant funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at leoprogramoffice@leo.gov or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.