

**The Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Fiscal Year 2016 Intercity Passenger Rail (IPR) - Amtrak**

NOTE: Eligible recipients who plan to apply for this funding opportunity but who have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), should take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after the submission of a SAM registration before the registration becomes active in SAM, then an additional 24 hours for [Grants.gov](http://www.grants.gov) to recognize the information. Information on obtaining a DUNS number and registering in SAM is available from [Grants.gov](http://www.grants.gov) at: <http://www.grants.gov/web/grants/register.html>. Detailed information regarding DUNS and SAM is also provided in Section D of this NOFO, subsection, Content and Form of Application Submission.

A. Program Description

Issued By

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

Catalogue of Federal Domestic Assistance (CFDA) Number

97.075

CFDA Title

Rail and Transit Security Grant Program

Notice of Funding Opportunity Title

Intercity Passenger Rail (IPR) - Amtrak

NOFO Number

DHS-16-GPD-075-00-01

Authorizing Authority for Program

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

Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2016 (Pub. L. No. 114-113)

Program Type

New

Program Overview, Objectives and Priorities

Overview

The FY 2016 IPR Program plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (the Goal) of a secure

and resilient Nation. The IPR Program supports the Quadrennial Homeland Security Review Mission to Strengthen National Preparedness and Resilience.

Objectives

FY 2016 IPR Program objectives include building and sustaining core capabilities through:

- Strengthening governance integration
- Protection of high risk/high consequence underwater and underground rail assets
- Planning
- Use of visible, unpredictable deterrence

Priorities

The FY 2016 IPR Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs. Examples of tangible outcomes from IPR Program include building and sustaining emergency management capabilities through operational activities, operational packages (OPacks), Top Transit Asset List (TTAL) remediation; protection of high risk/high consequence underwater and underground rail assets; planning; use of visible, unpredictable deterrence; emergency preparedness drills and exercises; public awareness and preparedness campaigns; and protection of other high risk, high consequence areas or systems that have been identified through system wide risk assessments.

For additional information on program priorities and objectives for FY 2016 IPR Program, refer to Appendix A – Program Priorities.

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the FY 2016 IPR: \$10,000,000

Period of Performance: Thirty-six (36) Months

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

Projected Period of Performance Start Date(s): September 1, 2016

Projected Period of Performance End Date(s): August 31, 2019

Funding Instrument: Cooperative Agreement

Program authority and responsibility under this Cooperative Agreement reside with FEMA. FEMA retains the right to terminate all or part of the Cooperative Agreement as

permitted by 2 C.F.R. § 200.339 and may conduct site visits and monitoring throughout the period of performance.

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

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

Effective management of the IPR Program entails a collaborative effort and partnership within DHS/FEMA, the dynamics of which require continuing outreach, coordination, and interfacing. For the FY 2016 IPR Program, FEMA is responsible for designing and operating the required administrative mechanisms to implement and manage the grant program. The Transportation Security Administration (TSA) provides programmatic subject matter expertise for the transportation industry. TSA assists by coordinating the intelligence information and risk/vulnerability assessments resulting in ranking and rating rail and mass transit assets nationwide against threats associated with potential terrorist attacks and in defining the parameters for identifying, protecting, deterring, responding, and recovering from such incidents. Together, these two agencies, with additional assistance and cooperation of the Federal Railroad Administration (FRA), determine the primary security architecture of the IPR Program.

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

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

C. Eligibility Information

Eligible Applicants

The National Railroad Passenger Corporation (Amtrak) is the only entity eligible to apply for funding under the FY 2016 Intercity Passenger Rail Program.

Eligibility Criteria

Amtrak is the only eligible applicant for the FY 2016 Intercity Passenger Rail Program.

Other Eligibility Criteria

National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2016, recipients must ensure and maintain adoption and implementation of NIMS.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications are available on DHS/FEMA's website under [National Integration Center Resource Management](#).

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

Although state, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, DHS/FEMA strongly encourages them to do so in order to leverage the Federal investment in the [Federal Information Processing Standards \(FIPS\) 201](#) infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information is available from the [NIMS Guideline for the Credentialing of Personnel](#).

Cost Match

Cost match is not required under this program.

D. Application and Submission Information

Key Dates and Times

Date Posted to Grants.gov: February 16, 2016

Application Submission Deadline: April 25, 2016 at 11:59 PM EDT

All applications **must** be received by the established deadline. The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of the full application. In general, FEMA will not review applications that are not received by the deadline or consider them for funding. FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending

the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline, or other exigent or emergency circumstances. Technical issues should be addressed to the respective Headquarters (HQ) Program Analyst as soon as possible before the application deadline.

Anticipated Funding Selection Date: June 29, 2016

Anticipated Award Date: No later than September 30, 2016

Other Key Dates:

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

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

Event	Suggested Deadline for Completion
Obtain DUNS Number	March 18, 2016
Obtain valid Employer Identification Number (EIN)	March 18, 2016
Update SAM registration	March 18, 2016
Submit initial application in grants.gov	April 15, 2016
Submit completed application in ND Grants	April 25, 2016 (firm)

Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants.” In order to obtain the application package select “Download a Grant Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package. Applicants experiencing difficulties accessing information or which have any questions should call the [Grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

Hard copies of the FY 2016 IPR NOFO are not available.

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

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

Content and Form of Application Submission

Applying for an award under this program is a multi-step process and requires time to complete. To ensure that an application is submitted on time, applicants are advised to start the required steps well in advance of their submission. Please review the table above under “Submission Dates and Other Key Dates and Times” for estimated deadlines to complete each of the six steps listed below. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

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

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

For additional information regarding the DUNS Number, EIN Number, SAM Number, and AOR requirements, please see the section below entitled [DUNS Number, SAM, and AOR](#).

Unique Entity Identifier and System for Award Management (SAM)

Before applying for a DHS/FEMA grant at grants.gov, applicants must have a DUNS number, be registered in SAM, and be approved as an AOR.

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in

sufficient time to ensure it does not impact the applicant's ability to meet required submission deadlines.

Data Universal Numbering System (DUNS) number

The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

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

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

Obtain an Employer Identification Number (EIN)

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

Organizations [applying for an EIN](#) should plan on a minimum of two full weeks to obtain an EIN. For assistance registering an EIN, please contact the [IRS helpline](#). DHS/FEMA cannot assist applicants with questions related to obtaining a current EIN.

System for Award Management (SAM)

Applicants applying for grant funds electronically through [Grants.gov](#) must register with the SAM. Step-by-step instructions for registering with SAM can be found here: <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Failure to register with the SAM will result in the application being rejected by [Grants.gov](#) during the submissions process.

Payment under any DHS/FEMA award is contingent on the recipient's having a current [SAM](#) registration. The SAM registration process must be completed by the applicant. It is imperative that the information provided by the applicant is correct and current. Please ensure that the organization's name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all other DHS/FEMA awards.

SAM registration is a multi-step process including validating the EIN with the IRS to obtain a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application.

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

For assistance registering, please go to [SAM](#) or call 866-606-8220. *DHS/FEMA cannot assist applicants with questions related to registering in SAM or obtaining a current CAGE code.*

Authorized Organizational Representative (AOR)

The next step in the registration process is creating a username and password with [Grants.gov](#) to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions. To read more detailed instructions for creating a profile on Grants.gov visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

AOR Authorization

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

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not jeopardize required submission deadlines. Approval as an AOR is necessary in order to submit applications online.

Electronic Signature

Applications submitted through Grants.gov constitute a submission as electronically signed applications. When submitting the application through Grants.gov, the name of the applicant's AOR will be inserted into the signature line of the application.

Applicants experiencing difficulties accessing information or who have questions should call the [grants.gov](#) customer support hotline at (800) 518-4726 or email [grants.gov at support@grants.gov](mailto:grants.gov@support@grants.gov).

The federal awarding agency may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award.

Submitting an Initial Application Submission in Grants.gov

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

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

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

Application forms and instructions are available at Grants.gov by selecting *Apply for Grants*. Enter the CFDA number or the Opportunity ID Number noted in this NOFO, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in Grants.gov will be retrieved by ND Grants, which will allow FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application in Grants.gov at least ten days before the April 25, 2016, application deadline.**

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

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

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

In ND Grants, applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they have included all the required information required:

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

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

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

For assistance registering for the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

Funding Restrictions

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other Federal awards, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the Federal Government or any other government entity.

Additionally, pursuant to Executive Order 13688, DHS/FEMA has issued IB 407 which has placed further restrictions on controlled equipment. For more information on the Controlled Equipment List and Prohibited Equipment, see [Appendix B: Funding Guidelines](#).

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Recipients and subrecipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA also is required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

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

SAFECOM

Recipients (including subrecipients) who receive awards under the IPR that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the [SAFECOM Guidance on Emergency Communications Grants](#). This guidance provides recommendations to recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Recipients (including subrecipients) investing in broadband-related investments should review [Information Bulletin \(IB\) 386](#), Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments, and consult their FEMA HQ Program Analyst on such investments before developing applications.

Pre-award Costs

Pre-award costs are allowable only with the prior written approval of FEMA and if they are included in the award agreement. To request pre-award costs, a written request must be included with the application. The request must be signed by the Authorized Representative of the entity. The letter must outline what the pre-award costs are for, including a detailed budget break-out of pre-award costs from the post-award costs, and a justification for approval.

Direct Costs

Cost Principles

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

Planning

Planning related costs are allowed under this program only as described in this NOFO.

Organization

Organization related costs are allowed under this program only as described in this NOFO.

Equipment

Equipment costs are allowed under this program only as described in this NOFO.

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. § 200.313, located at <http://www.ecfr.gov/cgi-bin/text->

[idx?SID=c836a011886f180dac489e15c059b1aa&node=sg2.1.200_1309.sg2&rgn=div7.](http://www.fema.gov/index?SID=c836a011886f180dac489e15c059b1aa&node=sg2.1.200_1309.sg2&rgn=div7)

Training

Training related costs are allowed under this program only as described in this NOFO.

Exercises

Exercise related costs are allowed under this program only as described in this NOFO.

Operational Packages (OPacks)

OPack costs are allowed under this program as described in this NOFO. The recipient may elect to pursue OPack funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti-Terrorism Teams, for new capabilities as well as to sustain existing OPacks. In addition, the recipient must commit to minimum training standards to be set by the Department for all IPR funded security positions.

Travel

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

Construction and Renovation

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

The recipient must submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. The recipient is also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which the recipient believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. §§ 10.8 and 10.9, must also be identified to the FEMA HQ Program Analyst within six months of the award and completed EHP review materials must be submitted no later than 12 months before the end of the period of performance. EHP review packets should be sent to gpdehpinfo@fema.gov.

If the recipient uses funds for construction projects, it must comply with the *Davis-Bacon Act* (40 U.S.C. § 3141 et seq.) as required by 6 U.S.C. § 1163(h).

The recipient must ensure that contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available at <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

Operational Overtime

Operational Overtime costs are allowed under this program as described in this NOFO. For additional information on overtime for the FY 2016 IPR Program, refer to [Appendix B – Funding Guidelines](#).

Maintenance and Sustainment

Maintenance and Sustainment related costs, such as maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in this NOFO and FEMA Policy FP 205-402-125-1, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

For additional information on allowable costs and funding restrictions, refer to Appendix B of this NOFO, *FY 2016 IPR Funding Guidelines*.

Management and Administration (M&A) Costs

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

Indirect (Facilities & Administrative [F&A]) Costs

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant federal agency) is required at the time of application, and must be provided to FEMA before indirect costs are charged to the award.

Other Submission Requirements

IPR Specific Application Instructions

Applicants must submit their IPR grant application, associated IJs including detailed budgets, and associated MOUs/MOAs as a file attachment within [ND Grants](#) prior to the application deadline.

Investment Justification (IJ)

As part of the FY 2016 IPR application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including a project's management

and administration (M&A) costs. Applicants may submit up to 15 IJs. The IJ must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities and link to one or more core capabilities identified in the National Preparedness Goal. Applicants are encouraged to submit a separate IJ for each proposed project. IPR projects must be: 1) feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the 3-year period of performance. Applicants must ensure that the IJs are consistent with all applicable requirements outlined in this application kit.

IJs must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting IJ attachments through <https://portal.fema.gov> as part of the FY 2016 IPR Program:

Name of Applicant_IJ Number (Example: Amtrak_IJ 1)

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

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

An IJ Template is provided in Appendix C – Program Investment Justification Template and may be used as a guide to assist in IJ preparation.

Detailed Budget

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

Applicants must use the following file naming convention when submitting detailed budgets through <https://portal.fema.gov> as part of the FY 2016 IPR Program:

Agency_IJ Number_Budget (Example: Amtrak_IJ 1_Budget)

A sample budget detail worksheet is provided in Appendix D – Sample Budget Detail Worksheet and may be used as a guide to assist in the preparation of the budget and budget narrative.

Sensitive Security Information (SSI) Requirements

A portion of the information routinely submitted in the course of applying for funding or reporting under certain programs or provided in the course of an entity's grant management activities under those programs which are under federal control may be

subject to protection under an SSI marking, and must be properly identified and marked. SSI is a control designation used by DHS/FEMA to protect transportation security related information. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. Further information can be found at 49 C.F.R. § 1520.7.

For the purposes of IPR, and due to the high-frequency of SSI found in IJs, all IJs shall be considered SSI and treated as such until they have been subject to review for SSI by FEMA. Therefore, applicants shall label all application documents as SSI in accordance with 49 C.F.R. § 1520.13.

E. Application Review Information

Application Evaluation Criteria

Prior to making a federal award, the federal awarding agency is required by 31 U.S.C. § 3321 and 41 U.S.C. § 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal awards; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

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

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

- 1. Funding priorities.** Projects will be evaluated and prioritized based on the extent to which they address the specific funding priorities contained in the FY 2016 IPR Program NOFO.
- 2. Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk associated with potential terrorist attacks and all other types of hazards.
- 3. Sustainability without additional federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional federal assistance.
- 4. Timeline.** Projects will be evaluated and prioritized on the ability of the Amtrak to complete the proposed project within submitted timeframes.

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

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

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

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

Review and Selection Process

Amtrak is the only eligible entity for the FY 2016 IPR Program.

Prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).

An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

DHS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205.

F. Federal Award Administration Information

Notice of Award

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

Applicants must accept their award no later than 90 days from the award date and shall notify the awarding agency of its intent to accept and proceed with work under the award, through the ND Grants system. Instructions on accepting or declining an award in the ND Grants system can be found in the [ND Grants Grantee Training Manual](#).

Funds will remain on hold until the applicant accepts the award through ND Grants System and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the award within the 90 day timeframe may result in a loss of funds.

Administrative and National Policy Requirements

All successful applicants for all DHS/FEMA grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at: [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Administrative Terms and Conditions will be those in effect at the time in which the award was made.

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

Reporting

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

Federal Financial Reporting Requirements

Federal Financial Report (FFR)

Recipients must report obligations and expenditures on a quarterly basis through the FFR (SF-425) to FEMA. Recipients must file the FFR electronically using PARS. A FFR report must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. The final FFR is due 90 days after the end date of the performance period. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

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

Financial Reporting Periods and Due Dates

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

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

Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of GAO’s Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=876f827f6fae2c4bce610e9427a6d229&node=sp2.1.200.f&rgn=div6>.

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO’s Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012.

Program Performance Reporting Requirements

Performance Progress Reports (SF-PPR)

Recipients are responsible for providing updated performance reports using the SF-PPR on a biannual basis. Recipients must submit the cover page of the SF-PPR as an attachment in the ND Grants system. The SF-PPR can be accessed online at http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf.

The SF-PPR should document accomplishments as they relate to the approved investment justification(s), milestones achieved, overall project status, and any potential issues that may affect project completion.

Program Performance Reporting Periods and Due Dates

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

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

Closeout Reporting Requirements

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

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, the recipient must submit a final

FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as the following documentation:

- 1) Final request for payment, if applicable;
- 2) SF-425 – Final Federal Financial Report;
- 3) SF-PPR – Final Performance Progress Report detailing project accomplishments throughout the period of performance with ties back to the original gaps laid out in the investment justification(s);
- 4) A qualitative narrative summary on the impact of the grant accomplishments throughout the entire period of performance submitted to the respective Grant Programs Directorate (GPD) HQ Program Analyst in a Word document; and
- 5) Other documents required by program guidance or terms and conditions of the award.

If applicable, an inventory of all construction projects that used funds from this program must be reported using the Real Property Status Report (Standard Form SF 429) available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf.

Additionally, recipients must liquidate all obligations incurred under the IPR award no later than 90 calendar days after the end date of the period of performance or issuance of a Grant Amendment Notice that closes out the award, whichever comes first. If the recipient fails to liquidate its obligations within this time period, FEMA may disallow the costs associated with those unliquidated obligations. Recipients also are responsible for promptly returning to the Department of Transportation the balance of any funds that have been drawn down, but remain unliquidated.

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

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

G. DHS Awarding Agency Contact Information

Contact and Resource Information

Centralized Scheduling and Information Desk (CSID)

CSID is a non-emergency comprehensive management and information resource developed by DHS/FEMA for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. When necessary,

recipients will be directed to a federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800)368-6498 or by e-mail at askcsid@dhs.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. EST.

GPD Grant Operations Division

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

FEMA Regional Offices

FEMA Regional Offices also may provide fiscal support, including pre- and post-award administration and technical assistance such as conducting cash analysis, financial monitoring, and audit resolution to the grant programs included in this solicitation. GPD will provide programmatic support and technical assistance. FEMA Regional Office contact information is available [here](#).

Systems Information

Grants.gov. For technical assistance with Grants.gov, please call the customer support hotline at (800)518-4726.

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

GPD Environmental Planning and Historic Preservation (GPD EHP)

The FEMA GPD EHP Team provides guidance and information about the EHP review process to recipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, the EHP Screening Form, can be found at http://www.fema.gov/media-library-data/20130726-1806-25045-2839/gpd_ehp_screening_form_omb_1660_0115_june_2011.pdf.

H. Additional Information

National Preparedness

DHS/FEMA coordinates with local, state, territory, and tribal governments as well as the private and nonprofit sectors to facilitate a whole community, risk driven, and capabilities-based approach to preparedness. The FY 2016 IPR program plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks identified in the National Planning Frameworks for each of the five mission areas outlined in the National Preparedness Goal. Information on the National Preparedness System can be found in the National Preparedness System Description, which is posted on the FEMA website at <http://www.fema.gov/national-preparedness-system>. Additional details regarding the

National Preparedness System and how it is supported by the IPR program can be found in [Appendix A – Program Priorities](#).

Payment

FEMA utilizes the [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing, and tracking payments. The recipient will complete invoicing and tracking payments through the Department of Transportation's E-Invoicing System.

Monitoring

The recipient will be monitored programmatically and financially on an annual and as needed basis by FEMA staff to ensure that the activities and project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

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

Conflict of Interest

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

The recipient or pass-through entity must disclose to FEMA, in writing, any real or potential conflict of interest as defined by the federal, state, local, or tribal statutes or regulations or their own existing policies, that may arise during the administration of the federal award. Recipients and pass-through entities must disclose any real or potential conflicts to their Program Analyst within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the Recipient's conflict of interest policies, or any applicable state, local, or Tribal statutes or regulations.

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

Extensions

Extensions to this program are allowed. Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to the relevant FEMA HQ Program Analyst and must contain specific and compelling justifications as to why an extension is required. The recipient is advised to coordinate

with the FEMA HQ Program Analyst as needed, when preparing an extension. All extension requests must address the following:

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

Extension requests will be granted only due to compelling legal, policy, or operational challenges. Extension requests will only be considered for the following reasons:

- Contractual commitments by the grant recipient with vendors or sub-recipients prevent completion of the project within the existing Period of Performance;
- The project must undergo a complex environmental review that cannot be completed within the existing Period of Performance;
- Projects are long-term by design and therefore acceleration would compromise core programmatic goals; and
- Where other special circumstances exist.

The recipient must submit all proposed extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance. In accordance with GPD policy, extensions are typically granted for no more than a six month time period.

Appendix A – FY 2016 IPR Program Priorities

Alignment of IPR to the National Preparedness System

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

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

The FY 2016 IPR Program plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The IPR Program supports efforts to build and sustain core capabilities across the five mission areas described in the Goal.

Building and Sustaining Core Capabilities

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

Using the core capabilities, the FY 2016 IPR supports the achievement of the Goal by:

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

The core capabilities contained in the Goal are highly interdependent and require the use of existing preparedness networks and activities, improved training and exercise programs, innovation, and appropriate administrative, finance, and logistics systems.

Additional information on the National Preparedness System is available at <http://www.fema.gov/national-preparedness-system>.

Strengthening Governance Integration

DHS/FEMA preparedness grant programs are intended to build and sustain an integrated network of national capabilities across all levels of government and the whole community. Disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

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

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

Validating Capabilities

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

In order to report on exercises from the exercise program, grant recipients should submit an After-Action Report/Improvement Plan (AAR/IP) to hseep@fema.dhs.gov, no later than 90 days after completion of the grant-funded exercise conducted within the IPR period of performance. In accordance with HSEEP guidance, grant recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Grant recipients are encouraged to use the HSEEP AAR/IP template and utilize the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, as a means to track the implementation of corrective actions listed in the AAR/IP.

The Department has identified the following project types for the FY 2016 IPR Program:

Protection of high risk/high consequence underwater and underground rail assets

Many of the Nation's largest transit systems have significant track miles and support large concentrations of riders in rail systems that run underground and underwater. The highest priority of the FY 2016 IPR Program is to support measures that protect assets on the Top Transit Asset List (TTAL), including underground rail system assets — particularly underwater assets — from terrorist attacks by improvised explosive devices or other threats that can damage or significantly breach such assets. Active coordination and regular testing of emergency evacuation plans can greatly reduce loss of life in serious incidents.

Use of visible, unpredictable deterrence

Visible and unpredictable security activities enhance the security awareness of the public, and help prevent attacks by disrupting the ability of terrorists to prepare for and execute attacks. Examples include the mobile screening of passengers and luggage; the acquisition, training, and certification of explosives detection canine teams; training of law enforcement, security officials and front-line employees in behavioral pattern recognition; and procurement of mobile detection or screening equipment to identify the presence of explosives, residue, and other suspicious items on persons or in packages.

Planning

Planning for how to prevent, protect against, mitigate, respond to, and recover from acts of terrorism is a core component in an agency's security framework. Vulnerability assessments, security plans, continuity of operations plans, and risk mitigation plans all contribute to the identification of focus areas that must be addressed to remediate risk, including action plans for how those identified risks will be addressed.

Targeted counter-terrorism training for key front line staff

Effective employee training programs address individual employee responsibilities and provide basic security awareness to front line employees, including equipment familiarization, assessing and reporting incident severity, suspicious activity reporting, appropriate responses for self-and passenger-protection, use of protective devices, crew communication and coordination, and incident evacuation procedures.

Emergency preparedness drills and exercises

In order to assess and enhance a system's capability to respond to a variety of serious incidents, transit agencies are encouraged to maintain an emergency drill and exercise program to test key operational protocols, including coordination with first responders. The IPR Program can support exercises related to terrorist attack scenarios (such as IEDs or chemical, biological, radiological, nuclear, and explosive (CBRNE) weapons attacks, malicious cyber activity), continuity disruptions, and other emergencies. Such programs can take various forms, from table-top exercises to more comprehensive multi-agency full-scale exercises. IPR Program funds also support rigorous after-action assessments to identify further system improvements.

Public awareness and preparedness campaigns

Public awareness and preparedness programs can employ announcements and postings in stations, transit vehicles, or other media to promote constant vigilance and provide awareness of heightened alert or threat conditions. For example, effective awareness programs such as the “See Something, Say Something™” public awareness campaign enlist the public and explain specific actions the public can take to report suspicious behavior and activities.

Protection of other high risk, high consequence areas or systems that have been identified through system wide risk assessments

The recipient should focus countermeasure resources on the highest risk, highest consequence areas or systems. The IPR Program will support the development and enhancement of capabilities to prevent, protect against, and respond to terrorist attacks employing CBRNE weapons, IEDs and malicious cyber activity. 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. The recipient should consider security technologies to reduce the burden on security manpower. Using smart closed-circuit television (CCTV) systems in remote locations, for example, could free up security patrols to focus on higher-risk areas.

Other

Security projects in line with, or addressing one or more of the 22 permitted uses of funds outlined in Subsection (b) of Section 1513 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1163(b)) will be considered.

The permitted uses of FY 2016 IPR Program funds include the following activities:

- Security and redundancy for critical communications, computer, and train control systems essential for secure railroad operations
- Accommodation of railroad cargo or passenger security inspection facilities, related to infrastructure, and operations at or near United States international borders or other points of entry
- Security of security-sensitive materials transportation by railroad
- CBRNE detection measures, including canine patrols for such detection
- Security of intercity passenger railroad stations, trains, and infrastructure, including security capital improvement projects that the Secretary of Homeland Security determines enhance railroad station security
- Technologies to reduce the vulnerabilities of railroad cars, including structural modification of railroad cars transporting security-sensitive materials to improve their resistance to acts of terrorism
- Sharing of intelligence and information about security threats
- Obtaining train tracking and communications equipment, including equipment that is interoperable with federal, state, and local agencies and tribal equipment.
- Hiring, training, and employing police and security officers, including canine units, assigned to full-time security or counterterrorism duties related to railroad transportation
- Overtime reimbursement, including reimbursement of state, local, and Tribal governments for the costs of enhanced security personnel assigned to duties related to railroad security during periods of high or severe threat levels and National Special

Security Events (NSSEs) or other periods of heightened security as determined by the Secretary of Homeland Security

- Perimeter protection systems, including access control, installation of improved lighting, fencing, and barricades at railroad facilities
- Tunnel protection systems
- Passenger evacuation and evacuation-related capital improvements
- Railroad security inspection technologies, including verified visual inspection technologies using hand-held readers
- Surveillance equipment
- Cargo or passenger screening equipment
- Emergency response equipment, including fire suppression and decontamination equipment, personal protective equipment, and defibrillators
- Operating and capital costs associated with security awareness, preparedness, and response training, including training under the Railroad Security Training Program authorized by Section 1517 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1167), and training developed by universities, institutions of higher education, and nonprofit employee labor organizations, for railroad employees, including frontline employees
- Live or simulated exercises, including Railroad Carrier Exercises described in Section 1516 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1166).
- Public awareness campaigns for enhanced railroad security, such as the “See Something, Say Something”™ campaign
- Development of Railroad Carrier Assessments and Plans under Section 1512 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1162).

Other security improvements that: (a) are identified, required or recommended under Sections 1511 and 1512 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007*, (6 U.S.C. §§ 1161 and 1162) including infrastructure, facilities, and equipment upgrades; or (b) that the Secretary of Homeland Security considers appropriate.

Appendix B – FY 2016 IPR Funding Guidelines

The recipient may only use IPR Program grant funds for the purpose set forth in the grant, and grant-funded activities must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal awards, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the Federal Government or any other government entity.

The following pages provide guidance outlining generally allowable and unallowable IPR Program costs.

- 1. Management and Administration.** M&A costs may not exceed five percent (5%) of the total award. FY 2016 IPR Program funds may be used for the following M&A costs:
 - Hiring of full-time or part-time staff or contractors/consultants to assist with the management of the FY 2016 IPR Program or the design, requirements, and implementation of the IPR Program
 - Hiring of full-time or part-time staff, contractors, or consultants and M&A expenses related to pre-application submission management activities and application requirements or meeting compliance with reporting/data collection requirements, including data calls
 - Travel expenses, only if relating to and necessary for the management and administration of the grant

- 2. Allowable Costs.** Specific investments made in support of the funding priorities discussed above generally fall into one of the following five allowable expense categories:
 - Planning
 - Operational Activities
 - Equipment
 - Training
 - Exercises

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

Planning

FY 2016 IPR Program funds may be used for the following types of planning activities:

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

Operational Activities

Operational Packages (OPacks) include the aggregation of allowable expenses for personnel, training, and equipment that are required to build and sustain a team's operational mission. OPacks are effective tactics for supporting the FY 2016 funding priorities for the IPR Program.

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

DHS/FEMA encourages the recipient to develop innovative layered approaches to enhance both the human and facility security on transit systems. Helping mass transit systems and the recipient increase randomness, unpredictability, and ultimate effectiveness of monitoring and patrol in their security and terrorism prevention programs is critical to national transit security. It is expected that OPack modules will be applied to address the security priorities. The following OPacks complement existing security systems and provide appropriate, practical, and cost-effective means of protecting assets.

- **Explosive Detection Canine Teams (EDCTs).** When combined with the existing capability of a transit security/police force, the added value provided through the addition of a canine team is significant. EDCTs are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. Funds can be used to establish dedicated security/police force canine teams. Each canine team will be composed of one dog and one handler. Funds for these canine teams may not be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.
- **Anti-Terrorism Teams (ATTs).** The ATTs capability provided through the IPR program funding is for uniformed, dedicated transit patrols on a normal operation basis, rather than using teams only for a surge capacity as provided by DHS/FEMA in the past. The ATTs initiative aligns with DHS/FEMA's risk-based strategy in confronting terrorist threats to potentially vulnerable public transit systems. ATTs do not supersede other local transit security forces; rather, they augment current capabilities with the unique strengths and expertise. Each ATT will consist of four individuals, including two overt elements (e.g., uniformed transit sector law enforcement officer, canine team, mobile explosive screeners), and two discreet observer elements. Funds for canine teams may not be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.
- **Mobile Explosive Screening Team.** The Mobile Explosive Screening Team OPack will allow the recipient the flexibility to deploy combinations of trained individuals and technologies that will assist in making screening decisions where there are large numbers of individuals with hand carried items. This screening technology will be coupled with mobile explosive screening technologies.

Funding Availability for OPacks

OPacks, and all IPR funding, will be funded for a 36 month period. The monetary figures presented below are stated in terms of cost per period of performance (which indicates actual/complete funding for the 36 month period). Additionally, any OPack costs after the 36 month period of performance (including expenses related to the maintenance, personnel, equipment, etc.) are the responsibility of the recipient or any law enforcement sub-recipient. Additional funding may be requested in future grant cycles to maintain this operational capability, but future funding cannot be guaranteed and requires approval. If these positions are not sustained, the recipient may not be eligible for this personnel support in the future.

Table 1: Available Funding for OPacks

	Operational Package	Funding per Year (12 months)	Funding per Period of Performance (36 months)
1.	EDCT	\$150,000 per team	\$450,000 per team
2.	ATT	\$500,000 per team	\$1,500,000 per team
3.	Mobile Explosive Screening Team	\$600,000 per team	\$1,800,000 per team

OPack Requirements

IPR Program OPack funds may be used for new positions and/or to sustain existing capabilities/programs (e.g., canine teams) already supported by Amtrak.

Table 2: OPack Requirements

OPacks	Requirements
EDCT	Please refer to pages 32-33 for detailed information regarding EDCTs under the IPR Program.
ATT	<p>Specific for the Canine Team within the ATT:</p> <ul style="list-style-type: none"> • Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization • Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification. The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program), the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement • The individuals hired for the covert and overt elements must be properly trained law enforcement officers • Certifications should be on file with Amtrak and must be made available to DHS/FEMA upon request
Mobile Explosives Screening Team	Certifications should be on file with Amtrak and must be made available to DHS/FEMA upon request

Allowable Expenses for OPacks

Table 3 identifies allowable expenses for the various OPacks. Please see the inserted footnotes for clarification of certain allowable costs.

Table 3: Allowable Expenses for OPacks

	OPacks	Salary and Fringe Benefits	Training and Certification¹	Equipment Costs	Purchase and Train a Canine	Canine Costs²
1.	EDCT	✓	✓	✓	✓ ³	✓
2.	ATT	✓	✓	✓	✓	✓
3.	Mobile Explosives Screening Team	✓		✓ ⁴		

Specific Guidance for Explosives Detection Canine Teams (EDCT)

When combined with the existing capability of a transit security/police force, the added value provided through the addition of a canine team is significant. EDCTs are a proven, reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. IPR Program funds can be used to establish dedicated security/police EDCTs. Funds for these canine teams may not be used to fund drug detection and apprehension technique training. Only explosives detection training for the canine teams will be funded.

EDCT Certification

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

EDCT Submission Requirements

The recipient will ensure that a written plan or standard operating policy and procedure exists that describes EDCT deployment policy to include visible and unpredictable deterrent efforts and on-call EDCTs rapid response times as dictated by the agency’s standard operating policy and procedure. The plan must be made available to DHS/FEMA upon request.

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

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

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

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

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

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

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

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

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

The recipient will conduct appropriate training or other canine activities, within view of the public, to increase public awareness of EDCTs and provide a noticeable deterrent to acts which affect public safety or mass transit operations. The recipient also will ensure that such activities include, over a period of time, a presence in operational areas of the mass transit system during peak and off-peak hours. The recipient agrees that EDCTs will be utilized at 100 percent (100%) of their duty time at Amtrak.

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

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

DHS/FEMA reserves the right to conduct on-site operational and record reviews upon 48-hour notice to ensure compliance with applicable federal regulations.

Equipment

FY 2016 IPR Program funds may be used for the following categories of equipment. A comprehensive listing of allowable equipment categories and types is found in the [DHS/FEMA Authorized Equipment List](#). These costs include:

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

Unless otherwise noted, equipment must be certified that it meets required regulatory and/or DHS/FEMA-adopted standards to be eligible for purchase using these funds. Equipment must comply with the Occupational Safety and Health Administration requirement for certification of electrical equipment by a nationally recognized testing laboratory, and demonstrate compliance with relevant DHS/FEMA-adopted standards through a supplier's declaration of conformity with appropriate supporting data and documentation per International Organization for Standardization/International Electrotechnical Commission (ISO/IEC) 17050, Parts One and Two. In addition, agencies must have all necessary certifications and licenses for the requested equipment, as appropriate, prior to the request.

A list of applicable standards is found at: <http://www.fema.gov/preparedness-non-disaster-grants> or <http://www.fema.gov/grants>

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

Controlled Equipment

Grant funds may be used for the purchase of Controlled Equipment, however, because of the nature of the equipment and potential impact on the community, there are additional and specific requirements in order to acquire this equipment.

Refer to Information Bulletin 407 *Use of Grant Funds for Controlled Equipment* for the complete *Controlled Equipment List*, information regarding the *Controlled Equipment Request Form*, and a description of the specific requirements for acquiring controlled equipment with DHS/FEMA grant funds. For additional information on Controlled Equipment refer to [Executive Order \(EO\) 13688 Federal Support for Local Law Enforcement Equipment Acquisition](#), and the [Recommendations Pursuant to Executive Order 13688](#).

Requirements for Small Unmanned Aircraft System

All requests to purchase Small Unmanned Aircraft System (SUAS) with FEMA grant funding must also include the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment, see Presidential Memorandum: [Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties, in Domestic Use of Unmanned Aircraft Systems](#), issued February 20, 2015.

Maintenance and Sustainment

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

FY 2016 grant funds are intended to support the Goal and fund projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide the recipient the ability to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain FEMA Grant Funding) expands the allowability for the support of equipment that has previously been purchased with both federal grant and non-federal grant funding. The eligible costs for maintenance and sustainment however need to be otherwise allowable expenditure under the applicable grant programs, and be tied to one of the core capabilities in the five mission areas outlined in the Goal.

Training

FY 2016 IPR Program funds may be used for the following training activities:

- **Training Workshops and Conferences.** Grant funds may be used to plan and conduct training workshops or conferences, to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and training plan development. The recipient is strongly encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** To support training-related activities. Reimbursement of these costs should follow the policies of the state or local unit(s) of government or the awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. In no case is dual compensation allowable.
- **Overtime and Backfill.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. Reimbursement of these costs should follow applicable FEMA policies. In no case is dual compensation allowable.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., gloves, non-sterile masks).
- **Other Items.** These costs may include the rental of space/locations for planning and conducting training.
- **Funds Used to Develop, Deliver, and Evaluate Training.** Includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the After Action Report/Improvement Plan (AAR/IP) and addressed in the training cycle.
- **Additional Information.** For additional information on training course review and approval requirements please refer to FEMA Grant Programs Directorate Policy FP 207-008-064-1, Review and Approval Requirements for Training Courses Funded Through Preparedness Grants, issued on September 9, 2013. The Policy can be accessed at <http://www.fema.gov/media-library/assets/documents/34856>.

Exercises

FY 2016 IPR Program funds may be used for the following exercise activities:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise.** This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. The recipient is encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management. The applicant must follow all applicable procurement regulations at 2 C.F.R. Part 200 when procuring contractor services. In no case is dual compensation allowable.
- **Personnel expenses, which must not exceed 15 percent (15%)** of the total allocation.
- **Overtime and Backfill.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or local unit(s) of government or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Travel.** Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s).

- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., gloves, non-sterile masks, disposable protective equipment).
- **Other Items.** These costs may include space/location/facilities for exercise planning and conduct as well as rental of equipment. Amtrak is encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. This may also include costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with disabilities.

3. Unallowable Costs. Specific unallowable costs include:

- **Prohibited Equipment:** grant funds may not be used for the purchase of Prohibited Equipment. Refer to Information Bulletin 407 *Use of Grant Funds for Controlled Equipment* for the complete *Prohibited Equipment List*. For additional information on Prohibited Equipment see [Executive Order \(EO\) 13688 Federal Support for Local Law Enforcement Equipment Acquisition](#), and the [Recommendations Pursuant to Executive Order 13688](#).
- Expenditures for general use items whose purpose is unrelated to activities allocable to the grant. Such items would include general-use software, general-use computers, and related equipment (other than for allowable M&A activities or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems, and ammunition
- Personnel costs (except as detailed above) or otherwise allowed by statute.
- Activities unrelated to the completion and implementation of the IPR Program
- Other items not in accordance with the Authorized Equipment List (AEL) or otherwise listed as an allowable cost
- Costs related to any matching or cost share requirement for any other federal award
- Costs related to lobbying or intervention in federal regulatory or adjudicatory proceedings
- Costs related to suing the Federal Government or any other government entity
- Pre-award costs, unless approved in writing by FEMA and included in the grant award
- Costs that are not consistent with the Cost Principles located at 2 C.F.R. Part 200, Subpart E, as applicable.

Additional Considerations

Improving Cybersecurity Capabilities

When requesting funds for cybersecurity, applicants are encouraged to propose projects that would aid in implementation of all or part of the [Framework for Improving Critical Infrastructure Cybersecurity](#) (“The Framework”) developed by the National Institute of Standards and Technology (NIST). The Framework gathers existing international standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that do not know where to start with developing a cybersecurity program, the Framework provides initial guidance. For organizations with more advanced practices, the

Framework offers a way to improve their programs, such as better communication with their leadership and suppliers about management of cyber risks.

The Department of Homeland Security's Critical Infrastructure Cyber Community C³ Voluntary Program also provides resources to critical infrastructure owners and operators to assist in adoption of the Framework and managing cyber risks. Additional information on the Critical Infrastructure Cyber Community C³ Voluntary Program can be found at www.dhs.gov/ccubedvp.

The Department of Homeland Security's Enhanced Cybersecurity Services (ECS) program is an example of a resource that assists in protecting U.S.-based public and private entities and combines key elements of capabilities under the "Detect" and "Protect" functions to deliver an impactful solution relative to the outcomes of the Cybersecurity Framework. Specifically, ECS offers intrusion prevention and analysis services that help U.S.-based companies and state, local, tribal, and territorial governments defend their computer systems against unauthorized access, exploitation, and data exfiltration. ECS works by sourcing timely, actionable cyber threat indicators from sensitive and classified Government Furnished Information (GFI). DHS then shares those indicators with accredited Commercial Service Providers (CSPs). Those CSPs in turn use the indicators to block certain types of malicious traffic from entering a company's networks. Groups interested in subscribing to ECS must contract directly with a CSP in order to receive services. Please visit <http://www.dhs.gov/enhanced-cybersecurity-services> for a current list of ECS CSP points of contact.

Appendix C - FY 2016 IPR Program Investment Justification Template

Investment Justification Template: As part of the FY 2016 IPR Program application process, the applicant must develop a formal IJ that addresses each initiative being proposed for funding, including M&A costs. The applicant may submit up to 15 IJs. Each IJ must demonstrate how a proposed project addresses gaps and deficiencies in current programs and capabilities and link to one or more capabilities identified in the Goal. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by DHS/FEMA. The applicant must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

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

I. Background

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

I.A. Identify the point(s) of contact for this investment.	
Response Type	Narrative
Response Instructions	Identify the following: <ul style="list-style-type: none"> • POC's 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 the organization—i.e., the individual authorized to sign a grant award.
Response	

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

II. Strategic and Program Priorities

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

II.B. Describe how this investment specifically addresses one or more of the funding priorities identified in the current year grant NOFO.	
Response Type	Narrative
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	

III. Impact

III.A. Discuss how the implementation of this investment will decrease or mitigate risk. Describe how the project offers the highest risk reduction potential at the least cost. Include output and outcome metrics	
Response Type	Narrative

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

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Complete the chart below to identify the amount of funding the applicant is requesting for <u>this investment only</u>; • Funds should be requested and detailed by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration); • Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and • Applicants must indicate whether additional funding (non-FY 2016 grants) will be leveraged for this investment. <p><i>Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment.</i></p>
Response	

The following template illustrates how the applicant should indicate the amount of FY 2016 IPR Program funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY 2016 IPR Program funds will be utilized:

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

IV.B. Discuss funding resources beyond the current fiscal year grant funding that have been identified and will be leveraged to support the implementation and sustainment of this investment.	
Response Type	Narrative

Response Instructions	<ul style="list-style-type: none"> • Give the expected total life-span for this investment if fully implemented and sustained through completion; • Discuss other funding sources (e.g., non-federal grant programs, public or private agreements, future fiscal year grants) that the applicant plans 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 2016 IPR Program funding is sufficient for the implementation and sustainment of this investment; and • Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional federal assistance.
Response	

IV.C. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Only include major milestones that are critical to the success of the investment; • While up to 10 milestones may be provided, the applicant should only list as many milestones as necessary; • Milestones are for this discrete investment – those that are covered by the requested FY 2016 IPR Program 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	

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

Investment Justification (IJ) Submission and File Naming Convention

IJs must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting their IJs as part of the FY 2016 IPR Program:

Name of Applicant_ IJ Number (Example: Amtrak_IJ_1)

Appendix D - FY 2016 IPR Sample Budget Detail Worksheet

The Budget Detail Worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. Applicants may submit the budget and budget narrative using this form or plain sheets, the applicant's 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 the budget may be deleted.

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

Name/Position	Computation	Cost
		\$
Total Personnel		\$

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

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

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

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

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

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

Item	Computation	Cost
		\$
	Total Equipment	\$

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

Supply Items	Computation	Cost
		\$
	Total Supplies	\$

F. Consultants/Contracts. Indicate whether the applicant’s procurement policy follows standards found in 2 C.F.R. § 200.318(a).

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

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

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

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

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

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

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. Any sole source contracts must follow the requirements set forth in applicable state and local laws and regulations, as well as applicable federal regulations at 2 C.F.R. Part 200.

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

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

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

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

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

Description	Computation	Cost
		\$
	Total Other	\$

H. Indirect Costs. Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant’s cognizant federal agency) is required at the time of application, and must be provided to FEMA before indirect costs are charged to an award.

Description	Computation	Cost
		\$
	Total Indirect Costs	\$

Budget Summary - After completing the budget worksheet, applicants should transfer the totals for each category to the spaces below, then compute the total direct costs and the total project costs. Indicate the amount of federal funds requested and the amount of non-Federal funds that will support the project. FY 2016 IPR does not require matching funds; the Non-Federal Amount should be left blank for all FY 2016 IPR applications.

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

Detailed Budget Submission and File Naming Convention

Investment Justifications must be submitted with the grant application as a file attachment within <https://portal.fema.gov>. Applicants must use the following file naming convention when submitting detailed budgets as part of the FY 2016 IPR Program:

Applicant_Region_IJ Number_Budget (Example: Amtrak_IJ 1_Budget)

Appendix E - FY 2016 IPR Helpful Hints for Applicants

Are the following components included in the application package?

- SF-424, SF-424A, SF-424B, SF-LLL
- IJs for projects
- Detailed budgets containing only allowable costs
- Vulnerability assessments/security plan certification (if applicable)

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

- Do the IJ and the detailed budget only include allowable costs?
 - Are all of the expenses in the detailed budget addressed in the IJ narrative? (For example, a camera equipment budget line item should be addressed in narrative form in the IJ as it pertains to the overall security program.)
 - Does the information in the detailed budget align with the budget summary in the IJ narrative?
 - Are planning and design costs clearly delineated in the budget, as separate from implementation/installation costs? (Planning and design costs may be released before implementation/installation costs, as planning and design costs do not require extensive EHP review.)
- Does the IJ clearly explain how the projects fit into a funding priority area (as identified in [Appendix A – Program Priorities](#))?
- Does the IJ align with one or more core capabilities in the Goal?
- Does the IJ discuss how this investment will specifically address one or more of the project effectiveness groups identified in the current year's grant guidance?
- Does the IJ discuss how this investment will decrease or mitigate risk?
- Is the cost effectiveness of the project clearly explained in the IJ? How does this project provide a high security return on investment?
- Are timelines realistic and detailed?
- Are possible hurdles addressed in a clear and concise fashion?