Department of Homeland Security
Notice of Funding Opportunity

FY 2015 Transit Security Grant Program (TSGP)

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

A. Notice of Funding Opportunity (NOFO) Description

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

Catalog of Federal Domestic Assistance (CFDA) Number
97.075

CFDA Title
Transit Security Grant Program

Notice of Funding Opportunity Title
Transit Security Grant Program

NOFO Number
DHS-15-GPD-075-000-02

Authorizing Authority for Program
Section 1406 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Pub. L. No. 110-53) (6 U.S.C. 1135).

Appropriation Authority for Program
Department of Homeland Security Appropriations Act, 2015, (Pub. L. No. 114-4)

Program Type
New

Program Overview, Objectives, and Priorities

Overview

The FY 2015 TSGP is one of DHS/FEMA's FY 2015 grant programs that directly support transportation infrastructure security activities. TSGP is one tool in the comprehensive set of measures authorized by Congress and implemented by the Administration to strengthen the Nation's critical infrastructure against risks associated with potential terrorist attacks. TSGP provides funds to eligible publicly owned operators of public transportation (which include intra-city bus, commuter bus, ferries, and all forms of passenger rail) to protect critical surface transportation infrastructure and the traveling public from acts of terrorism and to increase the resilience of transit infrastructure.

Objectives

Recipients under the FY 2015 TSGP are encouraged to build and sustain core capabilities through activities such as:

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

Priorities

The FY 2015 TSGP plays an important role in the implementation of the National Preparedness System by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of the Prevention, Protection, Mitigation, Response, and Recovery mission areas outlined in the National Preparedness Goal of a secure and resilient Nation. The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community.

The FY 2015 TSGP supports all core capabilities across the five mission areas based on allowable costs. Examples of tangible outcomes from the TSGP Program include building and sustaining emergency management capabilities through operational activities; operational packages (OPacks); 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 the FY 2015 TSGP, refer to Appendix B – *Program Priorities*.

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available funding for the FY 2015 TSGP NOFO: $87,000,000

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.

Projected Period of Performance Start Date: September 1, 2015

Projected Period of Performance End Date: August 31, 2018

Funding Instrument: Grant

C. Eligibility Information

Eligible Applicants

Public Transportation Agencies as listed in Appendix A – Eligible Rail, Intra-city Bus, and Ferry Transit Agencies.

Eligibility Criteria

Agencies eligible for the FY 2015 TSGP are determined based upon daily unlinked passenger trips (ridership) and transit systems that serve historically eligible Urban Area Security Initiative (UASI) jurisdictions as indicated in Appendix A. Certain ferry systems are eligible to participate in the FY 2015 TSGP and receive funds. However, any ferry system electing to participate and receive funds under the FY 2015 TSGP will not be eligible to participate under the FY 2015 Port Security Grant Program (PSGP) and will not be considered for funding under the FY 2015 PSGP. Likewise, any ferry system that participates in the PSGP will not be eligible for funding under the TSGP.

Sections 1405 (6 U.S.C. § 1134) and 1406 (6 U.S.C. § 1135) of the Implementing Recommendations of the 9/11 Commission Act of 2007 require that high risk public transportation agencies that receive grant funding develop a security plan based on a security assessment. Additionally, the statutes direct that grant funds be used to address items in the security assessment or the security plan. In order to be eligible for the FY 2015 TSGP, transit agencies must have developed or updated their security plan, which must be based on a security assessment such as the Baseline Assessment for Security Enhancement (BASE) performed by Transportation Security Inspectors-Surface from the Transportation Security Administration (TSA), within the last three years prior to receiving an FY 2015 award. A copy of the security plan and security assessment must be available for DHS/FEMA review upon request. Please see Appendix G – Security Plan Requirements for more information on security plan requirements.

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

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

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

Other Eligibility Criteria:

National Incident Management System (NIMS) Implementation
Prior to allocation of any Federal preparedness awards in FY 2015, recipients must ensure and maintain adoption and implementation of NIMS.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment 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 is available on FEMA's website under National Integration Center Resource Management.

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

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

Maintenance of Effort
There is no Maintenance of Effort requirement for this program.

Cost Share or Match
There is no Cost Share or Cost Match requirement for this program.

D. Application and Submission Information

Submission Date and Other Key Dates and Times

Date Posted to Grants.gov: April 2, 2015

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

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

Anticipated Award Date: No later than September 30, 2015

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

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

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

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

If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Hard Copies of the FY 2015 TSGP 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 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 five 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;
5. Submitting an initial application in Grants.gov; and
6. Submitting the complete application in ND Grants.

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

Submitting an Initial Application in Grants.gov.
All 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 the applicant. Applicants should complete this initial step on-line 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 SF-424 Family. The initial application cannot be started or submitted in Grants.gov until the applicant'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 DHS/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 May 19, 2015, application deadline.**

If you need assistance applying through Grants.gov, please go to the Grant Application page, contact support@grants.gov, or call 800-518-4726. *FEMA cannot assist applicants with questions related to registering with* Grants.gov.

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

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 include all required information.

- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-construction);
- Standard Form LLL, Disclosure of Lobbying Activities (if the recipient has engaged or intends to engage in lobbying activities).

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

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

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

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

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

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

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. FEMA cannot assist applicants with questions related to obtaining a current DUNS number.

Obtain an Employer Identification Number (EIN)
FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and, for grant award payment; both the EIN and DUNS are also required to register with SAM (see below). The EIN base for an organization is the Internal Revenue Service (IRS) Tax ID number, for individuals it is their social security number, (both the EIN and social security number are nine-digit numbers).
Organizations and individuals submitting their applications must correctly differentiate the EIN from the DUNS since both are nine-digit numbers. If these numbers are not correctly identified in the application, this may result in a delay in the issuance of the award or incorrect payment to a recipient organization.
Organizations applying for an EIN should plan on a minimum of two full weeks to obtain an EIN. If you need assistance registering an EIN please contact the IRS helpline. FEMA cannot assist applicants with questions related to obtaining a current EIN.

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

Payment under any 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 your organization's name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all other FEMA awards.

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

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

If you need assistance registering, please go to SAM or call 866-606-8220**.** *FEMA cannot assist applicants with questions related to registering in SAM or obtaining a current CAGE code.*

Authorized Organizational Representative
The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on Grants.gov 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 your organization who is the contact listed for SAM will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approve an applicant as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit: *http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html*. To track an AOR status visit:

http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html.

Applicants are, therefore, encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines. After you have been approved as an AOR you will be able to submit your application online.

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

DHS/FEMA may not make a TSGP 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 DHS/FEMA is ready to make an award, DHS/FEMA may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

TSGP Specific Application Instructions
All applicants will submit their TSGP grant application, the associated IJs to include detailed budgets and associated MOUs/MOAs as a file attachment within *https://portal.fema.gov* prior to the application deadline date and time.

Investment Justification (IJ)
As part of the FY 2015 TSGP application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including a project's M&A costs. An agency may submit up to eight IJs per region. Agencies may also submit up to five additional IJs for projects related to law enforcement providers that are not part of the public transportation agency. The IJ must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities and link to one or more core capabilities identified in the Goal. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants are strongly encouraged to submit a separate IJ for each proposed project. TSGP 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. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

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

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

A. Background
B. Strategic and Program Priorities
C. Impact
D. Funding/Implementation Plan

Applicants must use the following file naming convention when submitting the IJs as part of the FY 2015 TSGP:

Region_ Agency_IJ Number (Example: Chicago_CTA_IJ 1)

Operational Packages (OPacks)
The applicant may elect to pursue OPack funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti-Terrorism Teams, for new capabilities as well as to sustain existing OPacks. Applicants pursuing both new OPacks and sustainment funding for existing OPacks must indicate in their IJs which is the higher priority for their agency. Additionally, applicants pursuing either new teams or sustainment of existing teams must include the number of OPack teams already in place (either funded by the agency, or by the TSGP).

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

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

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

Region_Agency_IJ Number_Budget (Example: Chicago_CTA_IJ _1_Budget)
Applicants will find a sample Budget Detail Worksheet in Appendix F – *Sample Budget Detail Worksheet.*

This worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. Note: Design and Planning/Engineering costs must be

clearly identified in a separate line item in order for partial funding to be released prior to EHP review and approval.

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

For the purposes of TSGP, and due to the high-frequency of SSI found in IJs, all IJs shall be considered SSI and treated as such until they have been subject to review for SSI by FEMA. This means that applicants shall label documents as SSI in accordance with 49 CFR § 1520.13 and password protect prior to submission. The passwords for protected documents must be sent (in a separate email from that containing the documents) to the following e-mail address: *askcsid@dhs.gov*. For further information, please contact CSID at (800) 368-6498, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

The subject line of the email should identify:

- Applicant name
- Application number

The body of the e-mail should clearly identify:

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

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

Intergovernmental Review
An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372 (see *http://www.fws.gov/policy/library/rgeo12372.pdf)*. Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at *http://www.whitehouse.gov/omb/grants_spoc* to ensure currency.

Funding Restrictions

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

Environmental Planning and Historic Preservation (EHP) Compliance

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

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

SAFECOM

Recipients (including subrecipients) who receive awards under the TSGP 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 Headquarters 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 related costs are allowed under this program only as described in this NOFO.

Training

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

Exercise

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

Construction and Renovation

Construction and renovation costs to achieve capability targets related to preventing, preparing for, protecting against, or responding to acts of terrorism are allowed under this program. For construction costs to be allowed, they must be specifically approved by FEMA in writing prior to the use of any program funds for construction or renovation. Limits on the total amount of grant funding that may be used for construction or renovation may apply. See Appendix C for additional details. Additionally, recipients are required to submit a SF-424C Budget and budget detail citing the project costs.

Operational Overtime

Operational Overtime costs are allowed under this program

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.

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 FEMA Policy FP 205-402-125-1 (*http://www.fema.gov/media-library/assets/documents/32474*).

For additional details on allowable costs under the TSGP, see Appendix C of this NOFO – FY 15 TSGP Funding Guidelines.

Management and Administration (M&A)
Management and administration costs are allowed. Recipients 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 TSGP funds, such as financial management and monitoring.

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

E. Application Review Information

Criteria

FY 2015 TSGP applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Investments. This section is a synopsis. For additional information, please see Appendix D - *Evaluation Plan, Scoring Criteria, and Score Sheet*.

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

1. **Risk Group Score.** The agency's risk group score is a score of 1-6 generated for each transit agency based on relative risk. This score is calculated by a risk process developed and maintained by TSA and provided separately in accordance with proper SSI handling.
2. **Funding Priority Areas.** Projects will be scored in one priority area based on the extent to which they align with the Funding Priority Areas (see Table 2 in Appendix B - *Program Priorities*).

3. **Risk Mitigation Score*.** Projects will be evaluated based on the potential risk mitigation of the project (as determined by the information provided in the IJ). This score has several possible components, and is calculated by the average of the applicable sub-components described below, and shown in Table 1 below.
   a. **Cost effectiveness.** Projects will be evaluated and prioritized on the expected impact on security relative to the investment.
   b. **Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk associated with potential terrorist attacks and all other types of hazards.
   c. **Sustainability without additional Federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.
   d. **Timelines.** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes, and how quickly the project can be implemented once funding is received due to planning activities, contracting issues, construction requirement, or other such factors.
   e. **BASE Deficiency (for all Funding Priority A projects).** Projects will be evaluated and prioritized on linkages to deficiencies identified in their BASE or a comparable vulnerability assessment/security plan.
   f. **TTAL Remediation (for all Funding Priority B projects, and certain Priority D projects).** Projects will be evaluated and prioritized based on their ability to fully remediate known vulnerabilities of assets on the TTAL.
4. **Regional Collaboration.** Projects will be given an additional 0-1.5 points based on the collaboration of agencies within a specified region.

Table 1: Funding Priority Areas Risk Mitigation Score Components

Priority	Project Types	Risk Mitigation Score Components
A	**Operational Activities**	• Cost effectiveness • Ability to reduce risk of catastrophic events • Sustainability without additional Federal funds/leveraging of other funding • Timelines • BASE Deficiency linked to assessment score
B	**TTAL Remediation (Prevention/Protection)**	• Cost effectiveness • Ability to reduce risk of catastrophic events • Sustainability without additional Federal funds/leveraging of other funding • Timelines • TTAL Remediation
C	**OPacks/Surge Patrols**	• Cost effectiveness • Ability to reduce risk of catastrophic events • Sustainability without additional Federal funds/leveraging of other funding • Timelines
D	**All Other Projects, including TTAL Consequence Management**	• Cost effectiveness • Ability to reduce risk of catastrophic events • Sustainability without additional Federal funds/leveraging of other funding

Priority	Project Types	Risk Mitigation Score Components
		• Timelines

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

The FEMA headquarters grants management specialists will also conduct a financial risk assessment using the following criteria:

- Allowability, allocability, and financial reasonableness of the proposed budget and investment information, and
- If the recipient meets the financial and legal requirements listed in 2 C.F.R. Part 200.

Review and Selection Process

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

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.

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

- FEMA will verify compliance with each of the administrative and eligibility criteria identified in the application kit.
- Eligible applications will be reviewed by a National Review Panel (NRP) to determine the risk mitigation and regional collaboration scores. The NRP will consist of Federal officials from Federal Transit Administration, Office of Infrastructure Protection, TSA, and FEMA. Each panelist will independently review each application and score it based on the criteria outlined in Table 1 above using a standard scoring sheet.
- The NRP will meet to review and compare scores with discussion of project criteria. Each panelist will then confirm their final scores. Panelist scores will be averaged to obtain scores for each criteria on each project.

- FEMA will calculate a total score to aid with funding selections. The total score will consist of four individual parts: an agency-based risk score, a score associated with an application's alignment to the funding priority areas, a score based on project risk mitigation, and the degree of regional collaboration. Final project scores will be calculated as follows:

Risk Group Score
+
Funding Priority Area Score
+
Risk Mitigation Score*
+
Regional Collaboration Component

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

- The NRP results will be reviewed by an Executive Committee. The Executive Committee, made up of senior leadership from FEMA and TSA, will review the NRP's scoring summary and funding recommendations.
- The output of the Executive Committee review will be the final slate of recommended projects, the associated funding recommendations and official comments and justifications. FEMA and TSA will brief the final results of the Executive Committee's review, approved projects and funding to senior DHS/FEMA leadership through multiple briefings. Ultimately, TSGP authorizing statutes place final funding determinations at the discretion of the Secretary of Homeland Security. The final slate of approved projects will then be forwarded to GPD for final award processing.

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 awardee point of contact (the "authorized official") listed in the initial application. The "award date" for TSGP will be the date that FEMA approves the award. The awardee should follow the directions in the notification to confirm acceptance of the award.

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify the awarding agency of its intent to accept and proceed with work under the award through the ND Grants system. For instructions on how to accept or decline and award in the ND Grants system, please see pages 40-43 in the ND Grants Grantee Training Manual.

Funds will remain on hold until the recipient accepts the award through the ND Grants system and all other conditions of award have been satisfied, or the award is otherwise

rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

Administrative and National Policy requirements

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

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

Reporting

Recipients are required to submit various financial and programmatic reports as a condition of their award acceptance. 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. 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 Report (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*.

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

FEMA will close out the grant award when it determines that all applicable administrative actions and all required work of the TSGP award have been completed by the recipient. This section summarizes the actions that the recipient 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, recipients must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as the following documentation:

1) Final request for payment, if applicable;
2) SF-425 – Final Federal Financial Report;
3) SF-PPR – Final Performance Progress Report;

4) A qualitative narrative summary on the impact of those accomplishments throughout the entire period of performance submitted to the respective Grant Programs Directorate (GPD) Program Analyst in a Word document;
5) SF-428 – Tangible Personal Property Report– Inventory of all tangible personal property acquired using funds from this award.
6) Other documents required by program guidance or terms and conditions of the award.

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

Additionally, the recipient must liquidate all obligations incurred under the TSGP 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. Recipients who do not liquidate their obligations within this time period may have the costs of their unliquidated obligations disallowed. Recipients are also responsible for promptly returning to FEMA 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 TSGP grant funding.

If FEMA has made reasonable attempts through multiple contacts to close out awards within the required 180 days, FEMA may waive the requirement for a particular report and administratively close the award. If this action is taken, consideration for subsequent awards to the recipient may be impacted or restricted.

In addition, any TSGP recipient that issues subgrants to any subrecipients is responsible for closing out those subgrants as described in 2 C.F.R. § 200.343. TSGP recipients must ensure that they complete the closeout of their subgrants in time to submit all necessary documentation and information to FEMA during the closeout of their 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, 8:00 a.m. – 5:30 p.m. EST.

GPD Grant Operations Division
FEMA's Grant Programs Directorate, Grant Operations Division manages, administers and conducts application budget review, creates the award package, approves, amends and closes out awards. GPD's Grant Operations Division Business Office provides financial support and technical assistance. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to *ASK-GMD@dhs.gov*.

FEMA Regions
FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance such as conducting cash analysis, financial monitoring, and audit resolution to the grant programs included in this solicitation. GPD will provide programmatic support and technical assistance. A list of contacts in FEMA Regions is available online.

Systems Information

Grants.gov. For technical assistance with Grants.gov, 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 and subrecipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to *gpdehpinfo@fema.gov*. EHP Technical Assistance, including the EHP Screening Form, can be found at *http://www.fema.gov/media-library-data/20130726-1806-25045-2839/gpd_ehp_screening_form_omb_1660_0115_june_2011.pdf*.

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

Hard Copies of the NOFO
Hard Copies of the NOFO are not available.

H. Additional Information

National Preparedness

DHS/FEMA coordinates with local, state, territory, Tribal, and Federal governments as well as the private and nonprofit sectors to facilitate an all-of-nation/whole community,

risk driven, and capabilities-based approach to preparedness. The FY 2015 TSGP plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks identified in the National Planning Frameworks for each of the five mission areas outlined in the Goal. Information on the National Preparedness System can be found in the National Preparedness System Description (released Nov 2011), which is posted on the FEMA website at *https://www.fema.gov/national-preparedness-system*. Additional details regarding the National Preparedness System and how it is supported by the TSGP can be found in Appendix B – Program Priorities.

Payment

FEMA utilizes the FEMA PARS for financial reporting, invoicing and tracking payments.

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

Monitoring

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

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

Conflict of Interest

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

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

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

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 recipient's respective GPD Headquarters program analyst and must contain specific and compelling justifications as to why an extension is required. 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.

Recipients 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.

For more information on extensions, refer to IB 379, *Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding*.

Appendix A – FY 2015 TSGP Eligible Rail, Intra-city Bus, and Ferry Public Transportation Agencies

State	Urban Area	Eligible System	Asset on DHS TTAL[1]
AZ	Phoenix Area	City of Phoenix Public Transit Department	
		Valley Metro Regional Public Transportation Authority (Valley Metro)	
	Tucson Area	City of Tucson Transit	
CA	Fresno Area	Fresno Area Express	
	Greater Los Angeles Area (Los Angeles/Long Beach and Anaheim/Santa Ana UASI Areas)	City of Los Angeles Department of Transportation	
		Foothill Transit	
		Long Beach Transit	
		Los Angeles County Metropolitan Transportation Authority	X
		Montebello Bus Lines	
		Omnitrans (San Bernardino)	
		Orange County Transportation Authority (OCTA)	
		Santa Monica's Big Blue Bus	
		Southern California Regional Rail Authority (Metrolink)	
	Sacramento Area	Sacramento Regional Transit District	
	San Diego Area	North San Diego County Transit District (NCTD)	
		San Diego Metropolitan Transit System (MTS)	
	San Francisco Bay Area	Alameda-Contra Costa Transit District (AC Transit)	
		Altamont Commuter Express (ACE)	
		Central Contra Costa Transit Authority	
		City of Alameda Ferry Services (Blue and Gold Lines Fleet)	
		City of Vallejo Transportation Program (Ferry only)	
		Golden Gate Bridge, Highway and Transportation District	
		Peninsula Corridor Joint Powers Board (Caltrain)	
		San Francisco Bay Area Rapid Transit District (BART)	X
		San Francisco Municipal Railway (MUNI)	
		San Mateo County Transit Authority (SamTrans)	
		Santa Clara Valley Transportation Authority (VTA)	
		Transbay Joint Powers Authority	
CO	Denver Area	Regional Transportation District	
DC/ MD/ VA	Greater National Capital Region (National Capital Region and Baltimore UASI Areas)	Arlington Transit (ART)	
		City of Alexandria (Alexandria Transit Company)	
		Fairfax County Department of Transportation	
		Maryland Transit Administration (MTA)	
		Montgomery County Department of Transportation	
		Potomac and Rappahannock Transportation Commission	
		Prince George's County Department of Public Works and Transportation	
		Virginia Railway Express (VRE)	
		Washington Metropolitan Area Transit Authority	X

[1] Agency indicated has one or more TTAL assets within its system

State	Urban Area	Eligible System	Asset on DHS TTAL[1]
FL	Jacksonville Area	Jacksonville Transportation Authority	
	Miami/Fort Lauderdale Area (Miami and Fort Lauderdale UASI)	Broward County Division of Mass Transit	
		Miami-Dade Transit	
		South Florida Regional Transportation Authority (Tri-Rail)	
	Orlando Area	Central Florida Regional Transportation Authority	
	Tampa Area	Hillsborough Area Regional Transit Authority (HART)	
		Pinellas Sun Coast Transit Authority	
GA	Atlanta Area	Georgia Regional Transportation Authority	
		Metropolitan Atlanta Rapid Transit Authority (MARTA)	X
HI	Honolulu Area	City and County of Honolulu Department of Transportation Services	
IL	Urbana-Champaign Area	Champaign-Urbana Mass Transit District	
IL/IN	Chicago Area	Chicago Transit Authority (CTA)	X
		Northeast Illinois Commuter Railroad Corporation (METRA)	
		Northern Indiana Commuter Transportation District (NICTD)	
		PACE Suburban Bus	
IN	Indianapolis Area	Indianapolis Public Transportation Corporation	
KY	Louisville Area	Transit Authority of River City	
LA	New Orleans Area	Jefferson Parish Department of Transportation	
		New Orleans Regional Transit Authority (NORTA)	
MA	Boston Area	Massachusetts Bay Transportation Authority (MBTA)	X
	Springfield Area	Pioneer Valley Transit Authority	
MI	Detroit Area	City of Detroit Department of Transportation	
		Detroit Transportation Corporation	
		Suburban Mobility Authority for Regional Transportation	
	Lansing Area	Capital Area Transportation Authority	
MN	Twin Cities	Metro Transit	
MO	Kansas City Area	Kansas City Area Transportation Authority	
MO-IL	St. Louis Area	Bi-State Development Agency (Metro)	
		Madison County Transit District	
NC	Charlotte Area	Charlotte Area Transit System (CATS)	
NM	Albuquerque Area	Sun Tran of Albuquerque	
NV	Las Vegas Area	Regional Transportation Commission of Southern Nevada	
	Reno Area	Regional Transportation Commission of Washoe County	
NY	Albany Area	Capital District Transportation Authority	
	Buffalo Area	Niagara Frontier Transportation Authority	
	Rochester Area	Rochester Genesee Regional Transportation Authority	
NY/NJ / CT	New York City/Northern New Jersey Area (New York City and Jersey City/Newark UASI Areas)	Connecticut Department of Transportation	
		Connecticut Transit	
		Metropolitan Transportation Authority (MTA) (all components)	X
		New Jersey Transit Corp. (NJT)	X
		New York City Department of Transportation	X
		Port Authority of New York and New Jersey (PANYNJ)	X
		Westchester County Department of Transportation	
OH	Cincinnati Area	Southwest Ohio Regional Transit Authority	
		Transit Authority of Northern Kentucky	
	Cleveland Area	The Greater Cleveland Regional Transit Authority	
	Columbus Area	Central Ohio Transit Authority	

State	Urban Area	Eligible System	Asset on DHS TTAL[1]
	Dayton Area	Greater Dayton Regional Transit Authority	
OR	Eugene Area	Lane Transit District	
	Portland Area	Clark County Public Transportation Benefit Area (C-TRAN)	
		Tri-County Metropolitan Transportation District (Tri-Met)	
PA	Pittsburgh Area	Port Authority Of Allegheny County	
PA/DE / NJ	Philadelphia Area	Delaware River Port Authority (DRPA)	X
		Delaware Transit Corporation	
		New Jersey Transit	X
		Pennsylvania Department of Transportation	
		Southeastern Pennsylvania Transportation Authority	X
PR	San Juan Area	Metropolitan Bus Authority	
		Puerto Rico Highway and Transportation Authority (heavy rail)	
RI	Providence Area	Rhode Island Public Transit Authority	
TN	Memphis Area	Memphis Area Transit Authority	
	Nashville Area	Nashville Metropolitan Transit Authority	
TX	Austin Area	Capital Metropolitan Transportation Authority	
	Dallas/Fort Worth/Arlington Area	Dallas Area Rapid Transit (DART)	
		Fort Worth Transportation Authority (The T)	
		Trinity Railway Express (TRE)	
	El Paso Area	Mass Transit Department City of El Paso	
	Houston Area	Metropolitan Transit Authority of Harris County	
	San Antonio Area	VIA Metropolitan Transit	
UT	Salt Lake City Area	Utah Transit Authority	
VA	Norfolk Area	Hampton Roads Transit	
	Richmond Area	Greater Richmond Transit Company	
WA	Seattle Area	Central Puget Sound Regional Transit Authority (Sound Transit)	
		King County Department of Transportation	
		Pierce County Public Transportation Benefit Area Corporation (Pierce Transit)	
		Snohomish County Transportation Benefit Area Corporation (Community Transit)	
	Spokane Area	Spokane Transit Authority	
WI	Madison Area	Madison Metro Transit	
	Milwaukee Area	Milwaukee County Transit System	

Appendix B – FY 2015 TSGP Program Priorities

Alignment of TSGP 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 prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk." The objective of the National Preparedness System is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (*http://www.fema.gov/whole-community*).

The FY 2015 TSGP 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 in the National Planning Frameworks for each of Prevention, Protection, Mitigation, Response, and Recovery mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. TSGP's allowable costs support efforts to build and sustain core capabilities across the five mission areas.

To support building, sustaining, and delivering these core capabilities recipients will use the components of the National Preparedness System. The components of the National Preparedness System are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. For more information on each component, read the National Preparedness System Description available at *http://www.fema.gov/national-preparedness-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. With declining Federal funds available to support these capabilities, disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact. Eligible Transit entities should actively participate with the surrounding Urban Area Security Initiative (UASI) groups, applicable Area Maritime Security Committee, and other established ad hoc security working groups.

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

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

Risk-Based Funding
Based upon ongoing intelligence analysis, extensive security reviews, consultations with operations and security officials of mass transit and passenger rail agencies, state and local government officials, and Federal security partners, DHS/FEMA will focus its available transit security grant dollars on the highest-risk systems in our country's largest metropolitan areas. Eligible agencies were identified using a comprehensive, empirically-grounded risk analysis model.

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

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

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

Agencies that own a TTAL asset, or have demonstrable written agreement(s) with the asset owner, and have complete remediation plans may apply for funds to remediate the asset itself. When applying for remediation funds, agencies must include a remediation plan for review and approval within their IJ. If an agency owns an asset that is not on the TTAL, they may still submit remediation projects for those assets to be considered either as a potential addition to the

TTAL, or as part of the non-TTAL capital projects review. If requesting funds for consequence management, applicants must provide in the IJ a detailed description identifying the prevention and protection measures already addressed, such as CCTV, access control, intrusion detection, physical hardening, etc. Prevention and protection measures must be implemented or funded to be completed prior to requesting consequence management activities.

Regional Security Coordination
DHS/FEMA places a very high priority on ensuring that all TSGP applications reflect robust regional coordination and can show an investment strategy that institutionalizes regional security strategy integration. DHS/FEMA will work with TSGP applicants to strengthen and support regional consultation processes. Close coordination of the Federal TSGP investments is encouraged in all applications.

IJs that are developed collaboratively and that involve multiple eligible entities in implementation will result in funding preferences, as reflected by the regional collaboration component of the overall project score. Examples of regional efforts include regional drills and exercises, security training courses, interoperable communications, and public awareness campaigns (including America's PrepareAthon!).

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

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

DHS/FEMA places a very high priority on ensuring that all TSGP applications reflect robust regional coordination and an investment strategy that institutionalizes and integrates a regional security risk mitigation strategy. This priority is a core component in the Department's statewide grant programs and complements the goals of the UASI.

Regional Transit Security Strategy (RTSS)
Each RTSWG is <u>required</u> to develop and update at a RTSS at least every three years, which is not required to be submitted as part of the TSGP application. As the owners and operators of infrastructure that is vital to the well-being of the states and urban areas they serve, it is imperative that transit systems be incorporated into regional preparedness planning efforts. A

template for developing the RTSS can be found at https://www.fema.gov/pdf/government/grant/2011/fy11_tsgp_rtss.pdf.

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

Funding Priority Areas

DHS/FEMA has identified several different project types, and grouped them into four prioritized areas based on their effectiveness to reduce risk and alignment with departmental priorities. Applicants are strongly encouraged to submit a separate IJ for each proposed project, and not to combine multiple funding priority areas into a single IJ.

Table 2: Funding Priority Areas

Funding Priority Area	Funding Priority Score	Project Description	Project Types
A	7	**Operational Activities*** for agencies with identified deficiencies	• Training (basic before follow-on): – Security Awareness – DHS-Approved Behavior Recognition Detection Courses – Counter-Surveillance – Immediate Actions for Security Threats/Incidents • Drills and Exercises • Public Awareness • Vulnerability Assessments and Security Plans
B	6	**TTAL Remediation (Prevention/Protection)**** for assets that have complete remediation plans	Anti-terrorism security enhancement measures, including security projects that provide for substantial security enhancements, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions**:** • Underwater Tunnels • High-Density Bridges • High-Density Stations
C	5	**Operational Packages** including overtime patrols	• Canine Teams • Mobile Explosive Screening Teams • Anti-Terrorism Teams

Funding Priority Area	Funding Priority Score	Project Description	Project Types
			• Directed Patrols on Overtime • Sustainment of existing capabilities/programs
D	4	Multi-User High-Density Key Infrastructure Protection	Anti-terrorism security enhancement measures, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions for**:** • Tunnel Hardening • High-Density Elevated Operations • Multi-User High-Density Stations • Hardening of SCADA, other industrial control systems, or other anti-terrorism cyber security programs • Consequence Management for TTAL assets*** • Sustainment of existing capabilities/programs
	3	Single-User High-Density Key Infrastructure Protection	• Anti-terrorism security enhancement measures for**:** – High-Density Stations – High-Density Bridges • Sustainment of existing capabilities/programs
	2	Key Operating Asset Protection	• Physical Hardening/Security of Control Centers • Secure stored/parked trains, engines, and buses – Bus/Rail Yards • Maintenance Facilities • Sustainment of existing capabilities/programs
	1	Other Mitigation Activities	• Interoperable Communications • Anti-terrorism security enhancement measures for low-density stations • Sustainment of existing capabilities/programs • Other use of funds, as outlined in Public Law 110-53 Section 1406(b)(1)

**** Operational Activities:*** Agencies should explain in the IJ the linkages of their proposed projects to vulnerabilities identified in their BASE, or comparable vulnerability assessment/security plan if they have not undergone a BASE review. Only projects remediating deficiencies identified through a Yellow or Red BASE score in an operational category, or a

comparable rating in another assessment will be reviewed in Funding Priority Area A. Projects addressing identified deficiencies will be given higher consideration during the scoring process.

***** Eligibility Requirements for TTAL Asset Remediation:*** To qualify for project consideration with a TTAL asset, applicants must own the TTAL asset, or have demonstrable written agreement(s) with the asset owner to perform the work proposed. Applicants must provide in the IJ a detailed remediation plan for the asset on the TTAL, in addition to the other required documents, at the time of application.

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

****** Eligibility Requirements for Consequence Management for TTAL:***
To qualify for a TTAL Consequence Management project, applicants must own the TTAL asset, or have demonstrable written agreement(s) with the asset owner to perform the work proposed. Applicants must provide in the IJ a detailed description identifying prevention and protection measures already addressed, such as CCTV, access control, intrusion detection, physical hardening, etc. Prevention and protection measures must be implemented or funded to be completed prior to requesting a consequence management project.

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

OPack funds apply exclusively to anti-terrorism activities and may not be used to supplant existing agency programs already supported by the agency. Additionally, applicants must provide the number of existing teams (K-9, Mobile Explosive Screening Team (MEST), and Anti-terrorism Teams (ATT)) already in place either with in-house funding or funded through the TSGP. OPack funds may be used to develop new or sustain existing capabilities/programs. Applicants pursuing both new OPacks and sustainment funding for existing OPacks must indicate in their IJs which is the higher priority for their agency. OPack capabilities must be funded on a full-time basis, only for their intended purposes in line with the capabilities and functions detailed in Appendix C – *Funding Guidelines*.

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

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

TSGP Program Management: Roles and Responsibilities at DHS
Effective management of the TSGP entails a collaborative effort and partnership within DHS, the dynamics of which require continuing outreach, coordination and interface. For the TSGP, FEMA operates the administrative mechanisms needed to implement and manage the grant program. TSA provides subject matter expertise on all matters relating to surface transportation security and other programmatic updates, and assists by coordinating the myriad intelligence information and risk/vulnerability assessments resulting in ranking and rating rail and mass transit assets nationwide against threats associated with potential terrorist attacks and in defining the parameters for identifying, protecting, deterring, responding to, and recovering from such incidents. Together, these two agencies with additional assistance and cooperation of the Federal Transit Administration (FTA), for rail and mass transit systems, and the Federal Railroad Administration (FRA), as needed for freight rail operations, determine the primary security architecture of the TSGP.

Appendix C – FY 2015 TSGP Funding Guidelines

TSGP grant recipients and sub-recipients may only use TSGP grant funds for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal 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 outline general allowable and unallowable TSGP costs guidance.

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

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

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

Planning

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

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

Operational Activities

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

DHS/FEMA encourages applicants to develop innovative layered approaches to enhance both the human and facility security on transit systems. Helping mass transit systems and transit systems increase randomness, unpredictability, and ultimate effectiveness of monitoring and patrol in their security and terrorism prevention programs is critical to National transit security. Implementation of one of the three OPack modules discussed below supports these efforts. The following OPacks complement existing security systems and provide appropriate, practical, and cost-effective means of protecting assets.

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

Security Capital Plan and Operational Sustainment

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

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

Funding Availability for OPacks

OPacks will be funded for a 36 month period from the award date. 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 applicable transit system or law enforcement sub-

recipient. Additional funding may be applied for in future grant cycles to maintain this operational capability, but it is not guaranteed and requires approval. If these positions are not sustained, the public transportation agency may not be eligible for this personnel support in the future.

Table 3: Available Funding for OPacks

Operational Package	Maximum Funding per Year (12 months)	Maximum Funding per POP (36 months)
EDCT	$150,000 per team	$450,000 per team
ATT	$500,000 per team	$1,500,000 per team
Mobile Explosive Screening Team	$600,000 per team	$1,800,000 per team

OPack Requirements

TSGP OPack funds may be used for new positions or to sustain existing capabilities/programs (e.g., canine teams) already supported by the recipient. Applicants pursuing both new OPacks and sustainment funding for existing OPacks must indicate in their IJs which is the higher priority for their agency. Additionally, applicants must provide the number of existing teams (K-9, MEST, ATTs) already in place either with in-house funding or funded through the TSGP.

Table 4: OPack Requirements

Operational Package	Requirements
Explosives Detection Canine Teams	Please refer to pages 39-40 for detailed information regarding EDCTs under the TSGP
Anti-Terrorism Teams	Specific for the Canine Team within the ATT: • Each canine team, composed of one dog and one handler, must be certified by an appropriate, qualified organization • Canines should receive an initial basic training course and also weekly maintenance training sessions thereafter to maintain the certification • The basic training averages 10 weeks for the team, with weekly training and daily exercising (comparable training and certification standards, such as those promulgated by the TSA Explosive Detection Canine Program), the National Police Canine Association (NPCA), the United States Police Canine Association (USPCA), or the International Explosive Detection Dog Association (IEDDA) may be used to meet this requirement • The individuals hired for the covert and overt elements must be properly trained law enforcement officers • Certifications should be on file with the recipient and must be made available to DHS/FEMA upon request
Mobile Explosives Screening Team	Certifications should be on file with the recipient and must be made available to DHS/FEMA upon request

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

Table 5: Allowable Expenses for OPacks

	Operational Package	Salary and Fringe Benefits	Training and Certification [2]	Equipment Costs	Purchase and Train a Canine	Canine Costs [3]
1.	EDCT	✓	✓	✓	✓[4]	✓
2.	ATT	✓	✓	✓	✓	✓
3.	Mobile Explosives Screening Team	✓		✓[5]		

Specific Guidance on Explosive Detection Canine Teams (EDCT)

EDCT Certification
Each Explosives Detection Canine Teams (EDCT), composed of one dog and one handler, must be certified by an appropriate, qualified organization. TSA Certified EDTCs will meet or exceed certification standards set for by the TSA National Explosives Detection Canine Team Program (NEDCTP). Recipient 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 NOFO.

EDCT Submission Requirements
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 to situations 24 hours a day, seven days per week on an on-duty or off-duty on call basis. If TSGP-funded EDCTs are

[2] Travel costs associated with training for personnel, handlers, and canines are allowable
[3] Canine costs include but are not limited to: veterinary, housing, and feeding costs
[4] Training specific to the detection of common explosives odors is allowable
[5] 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

not available, other EDCTs (non-TSGP funded) may be utilized for this response. The intent is to provide maximum coverage during peak operating hours and to maintain the ability to promptly respond to threats that affect public safety or mass transit operations.

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 per duty cycle. This training shall include, but not be limited to: mass transit passenger cars, terminal/platform, luggage, freight/warehouse, and vehicles. Complete, detailed, and accurate training records must be maintained for all proficiency training conducted by each EDCT. These records must be made available to DHS/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 will also ensure that such activities include, over a period of time, a presence in operational areas of the mass transit system during peak and off-peak hours. The recipient agrees that EDCTs will be utilized in the field at least 80 percent (80%) of their duty time, annually.

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 for all canines is provided.

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

Equipment

TSGP funds may be used for the following categories of equipment. A comprehensive listing of allowable equipment categories and types is found in the DHS Authorized Equipment List (AEL). These costs include:

- Personal protection equipment
- Explosive device mitigation and remediation equipment
- Chemical, biological, radiological, nuclear, and high explosive (CBRNE) operational search and rescue equipment, logistical support equipment, reference materials or incident response vehicles
- Interoperable communications equipment

- Components or systems needed to address flaws in the computerized systems that control generators, switching stations, and electrical substations as well as other emerging threats to infrastructure critical to the U.S. economy
- Detection equipment
- Power equipment
- Terrorism incident prevention equipment
- Physical security enhancement equipment

Unless otherwise noted, equipment must be certified that it meets required regulatory and DHS-adopted standards to be eligible for purchase using these funds. Equipment must comply with the *Occupational Safety and Health Act* (OSHA) requirement for certification of electrical equipment by a nationally recognized testing laboratory, and demonstrate compliance with relevant DHS-adopted standards through a supplier's declaration of conformity with appropriate supporting data and documentation per International Organization for Standardization/International Electrotechnical Commission (ISO/IEC) 17050, Parts One and Two. In addition, agencies must have all necessary certifications and licenses for the requested equipment, as appropriate, prior to the request. DHS adopted standards are found at *http://www.dhs.gov/dhs-implementation-statement-regarding-standard-terms-and-conditions-research-grants*.

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

Maintenance and Sustainment

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable, 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 and future grant awards, unless otherwise noted.

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 recipients the ability to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in (1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas outlined in the Goal, and (4) shareable through the Emergency Management Assistance

Compact (EMAC). Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

Construction Projects Guidance

Recipients must obtain written approval from FEMA prior to the use of any TSGP funds for construction or renovation projects. When applying for construction funds, including communications towers, at the time of application, recipients must submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of Federal interest. Additionally, recipients are required to submit a SF-424C Budget and budget detail citing the project costs.

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

TSGP recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. §§ 3141 *et seq*.). Grant recipients must ensure that their contractors or sub-contractors 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 from the following website at *http://www.dol.gov/compliance/laws/comp-dbra.htm*.

Training

TSGP funds may be used for the following training activities:

- **Training Workshops.** Grant funds may be used to plan and conduct training workshops to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and training plan development. Recipients are strongly encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the After Action Report/Improvement Plan (AAR/IP) and addressed in the training cycle.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** to support training-related activities. Reimbursement of these costs should follow the policies of the state or local unit(s) of government or the awarding agency, whichever is applicable. Such costs

must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. Dual compensation is unallowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.

- **Overtime and Backfill Costs.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and approved training courses and programs are allowable. Reimbursement of these costs should follow the policies of the state or local unit(s) of government or the awarding agency, whichever is applicable. In no case is dual compensation allowable.
- **Travel.** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related, approved training.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., gloves and non-sterile masks).
- **Funds Used to Develop, Deliver, and Evaluate Training,** including costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the training cycle.

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

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

Validating Capabilities (Exercises)

To qualify for Exercise program funds, organizations should develop and maintain a progressive exercise program consistent with Homeland Security Exercise and Evaluation Program (HSEEP) (*http://www.fema.gov/exercise)* and in support of the National Exercise Program (NEP) (*http://www.fema.gov/national-exercise-program*). The NEP is critical to our Nation's ability to test and validate core capabilities. To this end, grantees are highly encouraged to nominate exercises into the NEP. For additional information on the NEP, please refer to *http://www.fema.gov/national-exercise-program*.

In order to report on grant-funded exercises, grantees should submit an AAR/IP to *hseep@fema.dhs.gov*, no later than 90 days after completion of the exercise conducted within the TSGP Period of Performance. In accordance with HSEEP guidance recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at *https://www.fema.gov/exercise* 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.

TSGP funds may be used for the following exercise activities:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise.** Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Exercises afford organizations the opportunity to validate plans and procedures, evaluate capabilities, and assess progress toward meeting capability targets in a controlled, low-risk setting. Any shortcoming or gap, identified, including those for children and individuals with disabilities or access and functional needs, should be identified in an effective corrective action program that includes development of improvement plans that are dynamic documents, with corrective actions continually monitored and implemented as part of improving preparedness through the exercise cycle.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. The applicant must follow all applicable procurement regulations at 2 C.F.R. Part 200. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Overtime and Backfill Costs.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable.
- **Travel.** Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s).
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., gloves, non-sterile masks, and disposable protective equipment).
- **Other Items.** These costs include the rental of space/locations for exercise planning and executing, rental of equipment, etc. Recipients are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities.

Management and Administration (M&A)

Management and administration costs are allowed under this program. M&A costs are activities directly related to managing and administering the award. Recipients may use up to 5% of the amount of the award for their M&A and sub recipients may use up to 5% of the amount they receive for M&A.

FY 2015 TSGP funds may be used for the following M&A costs:

- Hiring of full-time or part-time staff, including contractors and consultants, to execute the following:
  - Management of the FY 2015 TSGP Award
  - Design and implementation of the FY 2015 TSGP submission meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS/FEMA data calls
- Travel expenses related to TSGP grant administration
- Acquisition of authorized office equipment, including personal computers or laptops for TSGP M &A purposes

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) must be provided to FEMA before indirect costs are charged to the award.

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

Enhancing Cybersecurity Capabilities
Applicants are encouraged to propose projects to aid in implementation of all or part of the National Institute of Standards and Technology Cyber Security Framework (CSF) when requesting funds for cybersecurity. The CSF is available at *http://www.nist.gov/cyberframework/upload/cybersecurity-framework-021214-final.pdf*.

The Framework gathers existing global standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that do not know where to start, the Framework provides a road map. For organizations with more advanced cybersecurity, the Framework offers a way to better communicate with their leadership and with suppliers about management of cyber risks.

The Department of Homeland Security's Critical Infrastructure Cyber Community C³ Voluntary Program also provides resources to critical infrastructure owners and operators to assist in adoption of the Framework and managing cyber risks. For more information, visit *http://www.us-cert.gov/ccubedvp*.

Appendix D – FY 2015 TSGP Evaluation Plan, Scoring Criteria, and Score Sheet

I. Overview
The fiscal year (FY) 2015 TSGP provides $87,000,000 to public intracity bus and rail transit systems exclusively through a competitive program without tiers or target allocations. The FY 2015 TSGP prioritizes operational projects over capital projects.

As part of the FY 2015 TSGP, the Department of Homeland Security (DHS) will use a risk-based approach to apply resources to generate the highest return on investment to strengthen the security of the Nation's transit systems. This appendix provides an overview of the processes, protocols, and evaluation methods that will be undertaken for FY 2015 TSGP. Eligible transit systems are determined using a risk-based formula, with particular emphasis placed on:

- Passenger volume (ridership) and underwater and underground infrastructure of the rail transit systems, and
- Ridership, passenger miles, and the number of buses for intracity bus systems.

II. High-level process and timeline overview
Applicants are required to submit the SF-424 via Grants.gov by **May 9, 2015.** The SF-424 will be transferred to the Federal Emergency Management Agency's (FEMA's) ND Grants system. FEMA will determine whether an application should proceed further and the applicant will be notified to complete their submission by fulfilling additional application requirements (e.g., IJ, detailed budget) **no later than May 19, 2015,** to formally request FY 2015 TSGP funds.

Each applicant may submit up to eight IJs per transit agency and up to five IJs for law enforcement entities who are contracted to provide security and law enforcement services to an eligible agency.

All IJs must be submitted by 11:59 pm EDT on May 19, 2015, to be considered for funding. DHS has 65 days after May 19, 2015, to determine and finalize award amounts. The IJs will first be screened for eligibility, and then reviewed by subject matter experts on a National Review Panel (NRP). The NRP will evaluate and score each IJ based on the evaluation criteria outlined in the FY 2015 TSGP NOFO and described below. The NRP will develop funding recommendations and project approvals that will be sent forth to an Executive Committee. The Executive Committee will ultimately determine the funding decisions and projects that are forwarded to the Secretary of Homeland Security for final approval and award. Final awards will be announced on or around July 23, 2015.

III. Sequence of Events
The following sequence of events will be followed when evaluating proposed transit system investment justifications. More detail on each step is found below in this appendix.

1. FEMA's Grant Programs Directorate (GPD) will receive and conduct an initial review of all FY 2015 TSGP applications to verify that they are complete and contain all of the required application materials and meet the eligibility requirements. Incomplete

applications will not be considered for funding. Applications that meet the requirements outlined in the application kit and meet the eligibility requirements will be evaluated by the NRP.

2. GPD will conduct panel preparations for the NRP.

3. The NRP, which represents subject matter experts from TSA, the Federal Transit Administration (FTA) within the Department of Transportation, DHS Infrastructure Protection, and FEMA, will review and score the eligible applications against the applicable evaluation criteria.

4. The NRP will create a rank order listing of proposed projects and also will provide a recommended slate of projects for funding, associated funding amounts, and review comments as the basis for decisions.

5. An Executive Committee will review the NRP recommendations, which include the transit system risk scores and funding priority area group for each IJ. The Executive Committee will make final project award decisions based on both the investment justification scores and risk scores, and brief those decisions to DHS/FEMA senior leadership. FEMA will brief all appropriate agencies on the final selections and address any remaining issues.

6. The final approved projects and funding will be sent to GPD for final award processing.

IV. Pre-National Review Panel Process

The Pre-NRP process consists of the initial application submission processing and download, eligibility checks, and the necessary panel preparations that must occur prior to the formal NRP meetings hosted by FEMA.

Application Submissions

SF-424s must be submitted via www.grants.gov by May 9, 2015. All other application materials, including IJs and budgets, must be submitted via ND Grants by 11:59 p.m. EDT on May 19, 2015.

Eligibility Screen

Once the applications are passed through to ND Grants, they will be screened by FEMA GPD for eligibility and basic minimum requirements.

Applications that meet administrative and eligibility requirements outlined in this NOFO will be assigned to, and evaluated by, the NRP. The NRP is further described in Section VI of this appendix. All eligibility screens should be complete by the time the NRP meets as a panel.

V. Evaluation Criteria

To promote transparency and focus on effective risk-mitigating projects, a scoring methodology has been adopted that promotes the consistent and accurate evaluation of projects. The criteria that will be used in funding decisions are described in detail below.

For all TSGP applications, a total score will be calculated to aid with funding selections. The total score will consist of the following four individual components:

1. An agency and regionally-based risk score,
2. Risk mitigation score based on the NRP's review of the IJ,
3. Score associated with the investment's alignment to the funding priority area (ability to elevate security and reduce risk), and
4. Degree of regional collaboration.

Final project scores will be calculated as follows:

Risk Group Score + Risk Mitigation Score + Funding Priority Area Score + Regional Collaboration Component.

1. Risk Group Score

Each agency will be assigned to a risk group score based on the agency's individual risk score along with a regional risk component. Risk group scores range from six to one with six representing the highest risk group.

2. Risk Mitigation Score

Risk Mitigation will be evaluated and scored by the NRP based on the following criteria:

- **Cost effectiveness** with regard to the expected impact on security relative to the investment. The investment justification should provide evidence of the security impact, as well as justification for the strategic use of the proposed budget. The project cost levels should be commensurate with the security impact, and the proposed solution should be reasonable and advantageous over other possible solutions. Highly-scored projects will exhibit economical returns in which the benefits, expected impacts on security, will be great relative to the financial investment.

- **Feasibility** with regard to the likelihood of increasing security effectively based on the ability to reduce risk of catastrophic events. The investment justification should show a high likelihood of improved security and risk reduction ***when implemented as designed***. Projects will be scored based on their likelihood of being successful in reducing the risk of catastrophic events.

- **Timelines** with regard to the ability to complete the proposed project within submitted timeframes specified in the grant guidance. The investment justification should provide a timeline and schedule, and demonstrate evidence of ability to complete it within submitted timeline based on the proposed strategy, potential implementation challenges, resource plan, and reasonableness of anticipated schedule.

- **Sustainability** without additional Federal funds and leveraging of other funding, including exhibiting a likelihood of success, or continued success, without requiring additional Federal assistance. The investment justification should show potential or confirmed additional funding if/as appropriate. It should also show a high likelihood of success or continued success without additional Federal assistance, as well as offer a

long-term sustainability plan. Projects will receive additional preference based on the commitment of an applicant to provide a cash match or operational equivalent.

- **Baseline Assessment for Security Enhancement (BASE) Review Alignment** (for Priority A projects only) Projects addressing identified deficiencies will be given higher consideration during the scoring process.

- **Effectiveness in Remediating TTAL Assets** (for Priority C and D projects only) The investment justification should show how the project has the capability to fully remediate the vulnerabilities of assets on the TTAL.

A sample scoring sheet to be used by the NRP is included below.

3. Funding Priority Areas

Each project will be assigned a funding priority area score by the NRP. Funding priority area scores range from eight to one. For the funding priority area score, applications will be evaluated in accordance with the criteria below:

Funding Priority Area	Funding Priority Score	Project Description	Project Types
A	7	**Operational Activities*** for agencies with identified deficiencies	• Training (basic before follow-on): – Security Awareness – DHS-Approved Behavior Recognition Detection Courses – Counter-Surveillance – Immediate Actions for Security Threats/Incidents • Drills and Exercises • Public Awareness • Vulnerability Assessments and Security Plans
B	6	**TTAL Remediation**** for assets that have complete remediation plans	Anti-terrorism security enhancement measures, including security projects that provide for substantial security enhancements, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions**:** • Underwater Tunnels • High-Density Bridges • High-Density Stations
C	5	**Operational Packages** including overtime patrols	• Canine Teams • Mobile Explosive Screening Teams • Anti-Terrorism Teams

Funding Priority Area	Funding Priority Score	Project Description	Project Types
			• Directed Patrols on Overtime • Sustainment of existing capabilities/programs
D	4	Multi-User High-Density Key Infrastructure Protection	Anti-terrorism security enhancement measures, such as intrusion detection, visual surveillance with live monitoring, alarms tied to visual surveillance system, recognition software, tunnel ventilation and drainage system protection, flood gates and plugs, portal lighting, and similar hardening actions for**:** • Tunnel Hardening • High-Density Elevated Operations • Multi-User High-Density Stations • Hardening of SCADA, other industrial control systems, or other anti-terrorism cyber security programs • Consequence Management for TTAL assets • Sustainment of existing capabilities/programs
	3	Single-User High-Density Key Infrastructure Protection	• Anti-terrorism security enhancement measures for**:** – High-Density Stations – High-Density Bridges • Sustainment of existing capabilities/programs
	2	Key Operating Asset Protection	• Physical Hardening/Security of Control Centers • Secure stored/parked trains, engines, and buses – Bus/Rail Yards • Maintenance Facilities • Sustainment of existing capabilities/programs
	1	Other Mitigation Activities	• Operational activities linked to a Green assessment score*** • Interoperable Communications • Anti-terrorism security enhancement measures for low-density stations • Sustainment of existing capabilities/programs • Other use of funds, as outlined in Public Law 110-53 Section 1406(b)(1)

Note: The sample project types are not comprehensive and projects not listed may be eligible for funding if they fall into one of the funding priority area descriptions. Under all project types,

priority will be given to those projects that can be implemented quickly. Project types that are not in Funding Priority Areas A-D will not be considered for funding under the TSGP.

4. Regional Collaboration

Regional Collaboration is determined in regard to the extent that the impact of the investment can be leveraged by including other regional partners over and above expected/necessary collaboration**.** The investment justification should provide details as to the degree to which regional security partners (other transit agencies, local law enforcement, emergency responders, etc.) are included and coordinated with for the successful implementation of a project, as appropriate.

VI. National Review Process

National Review Panel Composition

Each application that meets the minimum requirements for application submission in accordance with the FY 2015 TSGP NOFO will be evaluated by the NRP.

This expert panel will consist of subject matter experts from TSA, FTA, DHS/IP and FEMA. FEMA will invite partner agencies including TSA, FTA, and DHS/IP to nominate NRP panelists to participate in the TSGP review process.

Evaluation Process

There will be a single NRP assigned to score and evaluate the entirety of TSGP IJs. As there will only be one panel, the "control" or normalizing of scores will not be necessary. The NRP will convene daily until the application reviews are complete. The end-result of the paneling will be a rank order listing of proposed projects with associated comments. The NRP will not be permitted to obtain additional information from applicants regarding specific IJs beyond what is included in their application submission.

Throughout the NRP meetings, discussions will focus on reviewing outliers, finding anomalies, and addressing potential issues as applicable. The key output from the sessions will be a list of recommended projects for Executive Committee review by rank order score.

As the rank order projects are recommended for funding by the NRP, the scalability of project requests will also be taken into consideration. As such, in some circumstances with limited remaining funding, some smaller projects with lower scores could potentially be recommended for funding instead of higher scoring projects that are more costly. In situations where multiple projects receive equal scores that straddle the available funding threshold, the Risk Group score will serve as a tie-breaker. The final NRP recommendation list will briefly describe each project, document the final score for each project, state the panelists' recommended dollar allocation, include any supporting rationale if different from the project request, and other relevant NRP comments. A post-NRP review analysis will also be conducted in order to provide the Executive Committee with a complete picture of the NRP's proposed funding recommendations based on the IJs received.

Executive Committee and Final Award Determination

The NRP results will be reviewed by an Executive Committee. The Executive Committee, made up of senior leadership from FEMA and TSA, will review the NRP's scoring summary and funding recommendations.

The output of the Executive Committee review will be the final slate of recommended projects, the associated funding recommendations and official comments and justifications. FEMA and TSA will brief the final results of the Executive Committee's review, approved projects and funding to senior DHS/FEMA leadership through multiple briefings. The final slate of projects will then be forwarded to GPD for final award processing. Partner agencies will be briefed on the final project selections, and awards will be announced on or around July 23, 2015.

RATING / SCORE SHEET

FY 2015 TSGP RISK MITIGATION RATING/SCORE SHEET

Rating Criteria	Allowable Point Range Rating/Score
1: *The extent to which the Investment Justification demonstrates* ***cost effectiveness*** *with regard to the impact on security relative to the investment.* The Investment Justification should provide evidence of the expected security impact, as well as justification for the strategic usage of the proposed budget. The project cost levels should be commensurate with the security impact, and the proposed solution should be reasonable and advantageous over other possible solutions. Cost Effectiveness Rating Key 0: Investment justification does not provide evidence to determine cost effectiveness 1-4: Investment justification demonstrates minimal cost effectiveness 5-8: Investment justification demonstrates moderate cost effectiveness 9-12: Investment justification demonstrates strong cost effectiveness	**0-12**
2: *The extent to which the Investment Justification exhibits the likelihood of* ***increasing security effectively*** *by the ability to reduce risk of catastrophic events.* The investment justification should show a high likelihood of improved security by reducing risk when implemented as designed. Feasibility Rating Key 0: Investment justification offers no potential for improved security 1-4: Investment justification offers limited potential for improved security 5-8: Investment justification offers moderate potential for improved security 9-12: Investment justification offers high potential for improved security	**0-12**
3: *The extent to which the Investment Justification exhibits the potential for* ***sustainability without additional Federal funds and leveraging of other funding,*** *including exhibiting a likelihood of success, or continued success, without requiring additional Federal assistance.* The Investment Justification should show potential or confirmed additional funding in the form of a cash or in-kind match. It should also show a high likelihood of success or continued success without additional Federal assistance, as well as offer a long-term sustainability plan. Sustainability Rating Key 0: Investment justification offers no potential for long-term sustainability 1-2: Investment justification offers limited potential for long-term sustainability 3-4: Investment justification offers high potential for long-term sustainability	**0-4**

4: *The extent to which the Investment Justification demonstrates* ***the ability to complete the proposed project within submitted timeframes*** *specified in grant guidance.* The Investment Justification should provide a timeline and schedule, and demonstrate evidence of ability to complete it within submitted timeline based on proposed strategy, identified implementation challenges, management and resource plan, and reasonableness of anticipated schedule.

0-4

Timely Completion Rating Key

0	1-2	3-4
Investment justification exhibits no evidence of an ability to complete the project within the submitted timelines	Investment justification exhibits nominal evidence of an ability to complete the project within the submitted timeline	Investment justification exhibits strong evidence of an ability to complete the project within the submitted timeline

5: ***(Priority A Projects Only)*** *The extent to which the Investment Justification demonstrates* ***the ability to link to deficiencies identified in BASE or a comparable vulnerability assessment/security plan for Operational Activities*** *specified in grant guidance.* The Investment Justification should provide a BASE review Alignment.

0-12

BASE Review Alignment

0	1-4	5-8	9-12
Investment justification does not provide evidence of BASE Alignment	Investment justification demonstrates minimal BASE Alignment, and/or the BASE score is already high	Investment justification demonstrates moderate BASE Alignment, and/or the BASE score is already moderate	Investment justification demonstrates strong BASE Alignment, and/or the BASE score is low

6: ***(Priority C & D Projects Only)*** *The extent to which the Investment Justification demonstrates* ***the ability to effectively remediate known vulnerabilities of assets on the TTAL and for Capital Projects for TTAL Remediation.*** The Investment Justification should provide a plan to fully remediate known vulnerabilities of assets on the TTAL.

0-12

Remediate Vulnerabilities assets on TTAL

0	1-4	5-8	9-12
Investment justification does not provide evidence of remediating vulnerabilities of assets on TTAL	Investment justification demonstrates minimal remediation of vulnerabilities for assets on TTAL	Investment justification demonstrates moderate remediation of vulnerabilities for assets on TTAL	Investment justification demonstrates strong/ complete remediation of vulnerabilities for assets on TTAL

TOTAL INVESTMENT JUSTIFICATION RISK MITIGATION SCORE: [Total/4]

Additional Factors	Allowable Point Range Rating/Score

1: *The extent to which the Investment Justification demonstrates* ***the ability to leverage the impact by including other regional partners over and above the expected/necessary collaboration****.* The IJ should provide details of the expected regional collaboration. The IJ should provide details as to the extent to which regional security partners are included and coordinated with for the successful implementation of a project, as appropriate. This regional collaboration can be demonstrated with other eligible transit agencies in the region, other non-eligible transit agencies, and/or local first responders, such as law enforcement entities, fire departments, EMT, etc. Note: If the project is an exercise or drill, then it should include other regional partners such as other transit systems or emergency responders, etc. Regional Collaboration Rating Key	**0-1.5**

0	.1-.5	.6-1.0	1.1-1.5
Investment justification exhibits no level of collaboration	Investment justification exhibits nominal level of collaboration	Investment justification exhibits moderate level of collaboration	Investment justification exhibits significant level of regional collaboration

SECTION C: Comments

(Summarize the merit of the investment justification and provide a justification for your final rating and recommended funding level.) **If the reviewer has a conflict of interest associated with an investment justification response, he/she should state and describe the point of conflict and leave the rest of the evaluation blank.**

Basis for Funding at Reduced Level (if applicable):

Appendix E – FY 2015 TSGP Investment Justification Template

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

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

I. Background

Note: This section only needs to be completed once per application, regardless of the number of investments proposed. The information in this section provides background/context for the investment(s) requested, but does not represent the evaluation criteria used by DHS/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: • Point of contact's (POC) name and title; • POC's full mailing address; • POC's telephone number; • POC's fax number; • POC's email address; and • Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.
Response:	

I.B. Describe the operating system.	
Response Type	Narrative
Response Instructions	Describe the following: • 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	• Describe what the project is, how it will be executed, and its purpose. • Define the vision, goals, and objectives for the risk reduction, and summarizes how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols); • Describe how the investment builds or sustains one or more National Preparedness Goal (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 *Note: Ensure that details on purchases within this section match what is outlined in the detailed budget.*
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	• Describe how the investment addresses one or more Funding Priority Areas outlined in this NOFO.
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	• Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) in a cost effective manner by addressing the needs and priorities identified in earlier analysis and review; • Identify the nature of the risk and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event); and • Outline the expected, high-level impacts this investment is expected to attain or achieve if implemented, and potential negative impacts if the investment is not implemented.
Response	

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Numeric and Narrative
Response Instructions	• Complete the chart below to identify the amount of funding the recipient is requesting for this investment only; • Funds should be requested and detailed by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration); • Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and • Applicants must indicate whether additional funding (non- grants) will be leveraged for this investment. *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.*
Response	

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

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

IV.B. Discuss funding resources beyond the current fiscal year grant funding that have been identified and will be leveraged to support the implementation and sustainment of this investment.	
Response Type	Narrative
Response Instructions	• Give the expected total life-span for this investment if fully implemented and sustained through completion; • Discuss other funding sources (e.g., non-Federal grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment; • If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested TSGP funding is sufficient for the implementation and sustainment of this investment; and • Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional Federal assistance.
Response	

IV.C. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.	
Response Type	Narrative
Response Instructions	• Only include major milestones that are critical to the success of the investment; • While up to 10 milestones may be provided, The recipient should only list as many milestones as necessary; • Milestones are for this discrete investment – those that are covered by the requested TSGP funds and will be completed over the grant period; • Milestones should be kept to high-level, major tasks that will need to occur; • Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; • Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and • List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).
Response	

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

Investment Justification Submission and File Naming Convention

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

Region_ Agency_IJ Number (Example: Chicago_CTA_IJ_1)

Appendix F – FY 2015 TSGP Sample Budget Detail Worksheet

Sample Budget Detail Worksheet

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

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
John Doe, Widget Producer	$30,000 annually x 50% effort	$ 15,000
	Total Personnel	$ 15,000

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
John Doe, Widget Producer	15,000 x 50% of salary	$ 7,500
	Total Fringe Benefits	$ 7,500

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
FLETC Training	Washington, DC	Hotel	150 x 3 nights	$ 450
			Total Travel	$ 450

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). Identify the Authorized Equipment List number (AEL #) for items requested. 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: A narrative budget justification must be provided for each of the budget items identified.

Item	Computation	Cost
Harness	10 x $100	$ 1,000
	Total Equipment	$ 1,000

E. Supplies. List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
Paper	10 reams x $30	$ 300
	Total Supplies	$ 300

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, reasonable daily or hourly (8-hour day), and estimated time on the project to include M&A.

Budget Narrative: A narrative budget justification must be provided for each of the budget items identified.

Name of Consultant	Service Provided	Computation	Cost
John Doe Consultant	Training Consultant	$100/hr. x 100 hours	$ 10,000
		Subtotal – Consultant Fees	$ 10,000

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

Budget Narrative: A narrative budget justification must be provided for each of the budget items identified.

Item	Location	Computation	Cost
John Doe Consultant	Phoenix, AZ	Hotel 150 x 3nights	$ 450
		Subtotal – Consultant Expenses	$ 450

***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: A narrative budget justification must be provided for each of the budget items identified.

Item	Cost
Jane Doe Contractor – Engine Maintenance, 36 months	$ 30,000
Subtotal – Contracts	$
Total Consultants/Contracts	$

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

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) must be provided to FEMA before indirect costs are charged to the award.

Description	Computation	Cost
		$
	Total Indirect Costs	$

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

Budget Category	Federal Amount	Non-Federal Amount
A. Personnel	$ 11,250	$ 3,750
B. Fringe Benefits	$ 5,625	$ 1,875
C. Travel	$ 337.50	$ 112.50
D. Equipment	$ 750	$ 250
E. Supplies	$ 225	$ 75
F. Consultants/Contracts	$ 30,337.50	$ 10,112.50
G. Other	$ 0	$ 0
H. Indirect Costs	$ 0	$ 0

Total Requested Federal Amount	Total Non-Federal Amount
$ 48,525	$ 16,175
Combined Total Project Costs	
$ 64,700	

Appendix G – FY 2015 TSGP Security Plan Requirements

The following information regarding security plan requirements is provided in 6 U.S.C. § 1134(c)(2):

Security plans should include the following, as appropriate:

- A prioritized list of all items included in the public transportation agency's security assessment that have not yet been addressed
- A detailed list of any additional capital and operational improvements identified by DHS or the public transportation agency and a certification of the public transportation agency's technical capacity for operating and maintaining any security equipment that may be identified in such list
- Specific procedures to be implemented or used by the public transportation agency in response to a terrorist attack, including evacuation and passenger communication plans and appropriate evacuation and communication measures for the elderly and individuals with disabilities
- A coordinated response plan that establishes procedures for appropriate interaction with state and local law enforcement agencies, emergency responders, and Federal officials in order to coordinate security measures and plans for response in the event of a terrorist attack or other major incident;
- A strategy and timeline for conducting training under 6 U.S.C. § 1137
- Plans for providing redundant and other appropriate backup systems necessary to ensure the continued operation of critical elements of the public transportation system in the event of a terrorist attack or other major incident
- Plans for providing service capabilities throughout the system in the event of a terrorist attack or other major incident in the city or region which the public transportation system serves
- Methods to mitigate damage within a public transportation system in case of an attack on the system, including a plan for communication and coordination with emergency responders
- Other actions or procedures as the Secretary of Homeland Security determines are appropriate to address the security of the public transportation system

Appendix H – FY 2015 TSGP Helpful Hints for Applicants

Are the following components included in the application package?

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

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

- Do the IJ and the detailed budget only include allowable costs?
  - Are all of the expenses in the detailed budget addressed in the IJ narrative? (for example, a camera equipment budget line item should be addressed in narrative form in the IJ as it pertains to the overall security program)
  - Does the information in the detailed budget align with the budget summary in the IJ narrative?
  - Are planning and design costs to include remediation planning clearly delineated in the budget, as separate from implementation/installation costs? (Planning and design costs may be released before implementation/installation costs, as planning and design costs do not require extensive EHP review.)
- Does the IJ clearly explain how the projects fit into a funding priority area (as identified in Appendix B – *Program Priorities*)?
- Does the IJ establish a clear linkage to developing or sustaining one or more core capabilities in the Goal?
- Does the IJ discuss how this investment will decrease or mitigate risk?
- Is the cost effectiveness of the project clearly explained in the IJ? How does this project provide a high security return on investment?
- Does the IJ discuss how/if the project can be implemented quickly?
- How does the project reflect security discussions and mitigation strategies discussed by the Regional Transit Security Working Group (RTSWG)?
- Are timelines realistic and detailed?
- Are possible hurdles addressed in a clear and concise fashion?
- If requesting funding for both new OPacks and sustainment of existing OPacks, does the IJ discuss which is the higher priority for the agency and why? Does the IJ indicate the number of existing teams already in place, either through agency funding or funded through the TSGP?
- If requesting TTAL consequence management, does the IJ clearly detail the prevention and protection measures already in place, or funded to be completed?