



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2009**

**INTERCITY BUS SECURITY GRANT PROGRAM**

**GUIDANCE AND APPLICATION KIT**

**NOVEMBER 2008**



U.S. DEPARTMENT OF HOMELAND SECURITY

**Title of Opportunity:** FY 2009 Intercity Bus Security Grant Program

**Funding Opportunity Number:** DHS-09-GPD-057-1964

**Federal Agency Name:** FEMA Grant Programs Directorate (GPD)

**Announcement Type:** Initial

**Dates:** Completed applications must be submitted **no later than 11:59 PM EST, January 13, 2009.**

**Additional overview information:** The FY 2009 Intercity Bus Security Grant Program (IBSGP) contains improvements based on outreach to grant participants and stakeholders. The following are some of the key changes impacting the FY 2009 IBSGP as compared to the previous year's program.

***Backfill and Overtime***

Under the FY 2008 IBSGP, backfill and overtime costs for private sector employees associated with training, drills, and exercises were not allowable. For the FY 2009 IBSGP, overtime and backfill costs for private sector employees associated with training, drills, and exercises are allowable.

***Scoring Methodology***

This FY 2009 IBSGP Grant Guidance contains more detail about the point ranges and weights associated with the evaluation criteria that the National Review Panel uses to score grant applications.

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## PART I.

# FUNDING OPPORTUNITY DESCRIPTION

The Intercity Bus Security Grant Program (IBSGP) is one of six grant programs that constitute the Department of Homeland Security (DHS) Fiscal Year (FY) 2009 focus on transportation infrastructure security activities. IBSGP is one tool among a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the nation's critical infrastructure against risks associated with potential terrorist attacks. The FY 2009 IBSGP is authorized by section 1532 of the *Implementing Recommendations of the 9/11 Commission Act* (Public Law 110-53) (the 9/11 Act) and the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329).

The vast bulk of America's critical infrastructure is owned and/or operated by State, local, and private sector partners. The funds provided by the IBSGP are primarily intended to support the work of operators of fixed route intercity and charter bus services.

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

Making an application for significant Federal funds under programs such as this can be complex. The Department's job is to provide clear guidance and efficient application tools to assist applicants. DHS customers are entitled to effective assistance during the application process, and transparent, disciplined management controls to support grant awards. The Department intends to be good stewards of limited Federal resources, and commonsense partners with State, local, and private sector stakeholders.

The Department understands that individual intercity bus systems will have unique needs and tested experience about how best to reduce risk locally. DHS subject matter experts will come to the task with a sense of urgency to reduce risk, but also with an ability to listen carefully to local needs and approaches. In short, DHS commits to respect flexibility and local innovation as the Department funds national homeland security priorities.

### ***Federal Investment Strategy***

IBSGP is an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness, including the security of America's critical infrastructure. IBSGP implements objectives addressed in a series of post-9/11 laws, strategy documents, plans, Executive Orders, and Homeland Security Presidential

Directives (HSPDs). Of particular significance are the National Preparedness Guidelines and its associated work products, including the National Infrastructure Protection Plan and its transportation sector-specific plans and Executive Order 13416 (Strengthening Surface Transportation Security). The National Preparedness Guidelines are an all-hazards vision regarding the Nation's four core preparedness objectives: prevent, protect against, respond to, and recover from terrorist attacks and catastrophic natural disasters.

The National Preparedness Guidelines define a vision of what to accomplish and a set of tools to forge a unified national consensus about what to do and how to work together at the Federal, State, local, and Tribal levels. Private sector participation is also integral to the Guidelines' success.<sup>1</sup> They outline 15 scenarios of terrorist attacks or national disasters that form the basis of much of the Federal exercise and training regime. In addition, it identifies some 37 critical capabilities that DHS is making the focus of key investments with State, local, and Tribal partners.

DHS expects its critical infrastructure partners – including recipients of IBSGP– to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations, and investments to the degree practicable. DHS funding priorities outlined in this document reflect National Preparedness Guidelines' priority investments, as appropriate. Programmatic requirements or priority investment categories reflecting the national preparedness architecture for this grant program are identified below. Additional information may be found at <http://www.dhs.gov/xprepresp/publications>.

### ***Funding Priorities***

The funding priorities for the FY 2009 IBSGP reflect the Department's overall investment strategy, in which two priorities are paramount: risk-based funding and regional security cooperation. The funding priorities also reflect the 9/11 Act, which was enacted by Congress in August 2007.

First, based upon ongoing intelligence analysis, extensive security reviews, consultations with industry partners, and Congressional direction, DHS has once again focused the available intercity bus grant funds on operators serving the Nation's highest-risk metropolitan areas.

Second, DHS places a very high priority on ensuring that all IBSGP applications reflect robust regional coordination and an investment strategy that institutionalizes regional security strategy integration.

In order to be eligible to receive FY 2009 IBSGP grant funding, the 9/11 Act requires that all operators have completed a vulnerability assessment and developed a security plan. **If the operator has not completed a security plan or vulnerability assessment, then the operator may use FY 2009 IBSGP grant funding for only the**

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<sup>1</sup> The National Preparedness Guidelines and supporting documents were published in September 2007, and are available at: <http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm> .

**development of a security plan or vulnerability assessment. The operator cannot apply for any other projects.**

The 9/11 Act outlines several uses of funds for over-the-road bus security assistance in section 1532 (b), which are all eligible costs under the FY 2009 IBSGP. Those uses of funds are listed below in prioritized order for funding consideration for the FY 2009 IBSGP:

- Development of assessments or security plans:
  - Development of a vulnerability assessment (VA) that includes, as appropriate:
    - Identification and evaluation of critical assets and infrastructure, including platforms, stations, terminals, and information systems
    - Identification of vulnerabilities to those assets and infrastructure
    - Identification of weaknesses in physical security; passenger and cargo security; the security of programmable electronic devices, computers, or other automated systems which are used in providing over-the-road bus transportation; alarms, cameras, and other protection systems; communications systems and utilities needed for over-the-road bus security purposes, including dispatching systems; emergency response planning; and employee training
  - Development of a security plan that includes, as appropriate:
    - The identification of a security coordinator having authority to implement security actions, coordinate security improvements, and receive communications from appropriate Federal officials regarding over-the-road bus security
    - A list of needed capital and operational improvements
    - Procedures to be implemented or used by the operator in response to a terrorist attack, including evacuation and passenger communication plans that include individuals with disabilities
    - The identification of steps taken with State and local law enforcement agencies, emergency responders, and Federal officials to coordinate security measures and plans for response to a terrorist attack
    - A strategy and timeline for conducting training to prepare front-line employees for potential security threats and conditions
    - Enhanced security measures to be taken by the operator when the Secretary of DHS declares a period of heightened security risk
    - Plans for providing redundant and backup systems required to ensure the continued operation of critical elements of the operator's system in the event of a terrorist attack
- Operating and capital costs associated with over-the-road bus security awareness, preparedness, and response training, including training for front-line employees for potential security threats and conditions (must be DHS-approved training courses)

- Live or simulated exercises for the purpose of assessing and improving the capabilities of entities to prevent, prepare for, mitigate, respond to, and recover from acts of terrorism (must be DHS-approved exercises)
- Public awareness campaigns for enhanced over-the-road bus security (must be DHS-approved)
- Modifying over-the-road buses to increase their security
- Installing cameras and video surveillance equipment on over-the-road buses and at terminals, garages, and over-the-road bus facilities
- Constructing and modifying terminals, garages, and facilities, including terminals and other over-the-road bus facilities owned by State or local governments, to increase their security
- Establishing and improving an emergency communications system linking drivers and over-the-road buses to the recipient's operations center or linking the operations center to law enforcement and emergency personnel
- Implementing and operating passenger screening programs for weapons and explosives
- Protecting or isolating the driver of an over-the-road bus
- Chemical, biological, radiological, or explosive detection, including canine patrols for such detection
- Acquiring, upgrading, installing, or operating equipment, software, or accessorial services for collection, storage, or exchange of passenger and driver information through ticketing systems or other means and for information links with government agencies, for security purposes
- Overtime reimbursement, including reimbursement of State, local, and tribal governments for costs, for enhanced security personnel assigned to duties related to over-the-road bus security during periods of Orange or Red Alert levels or National Special Security Events

Note: As in FY 2008, the program will continue to encourage video systems with the capability to stream live video to first responders as part of security systems that may include items such as GPS, panic buttons, and remote disabling. The procurement of closed-circuit television cameras (CCTV) for vehicles as a deterrent to terrorism *without* the ability for live streaming video will continue to be de-emphasized.

***IBSGP Program Management: Roles and Responsibilities at DHS***

Within DHS, the Transportation Security Administration (TSA) has the lead for managing the Department's security oversight and security programs for the intercity bus industry. TSA provides intercity bus system subject matter expertise within DHS and determines the primary security architecture for the IBSGP. Its subject matter experts have the lead in crafting all selection criteria associated with the application review process. TSA coordinates daily with the DHS Chief Intelligence Officer to review intelligence reporting and craft intelligence risk assessments related to the transportation sector.

The Federal Emergency Management Agency (FEMA) has the lead for designing and operating the administrative mechanisms needed to manage the Department's core

grant programs, including this grant program. In short, FEMA is responsible for ensuring compliance with all relevant Federal grant management requirements and delivering the appropriate grant management tools, financial controls, audits, and program management discipline needed to support IBSGP. While both TSA and FEMA interface directly with the intercity bus stakeholders, TSA will prioritize specific investments and set security priorities associated with IBSGP.

Effective management of IBSGP entails a partnership within DHS, the boundaries of which have been defined by Secretary Chertoff. TSA and FEMA will meet directly with grantees as needed, and will coordinate with each other routinely to facilitate support for the individual companies in a given region. TSA and FEMA grant managers will be the one-stop IBSGP program managers for DHS customers.



## PART II.

# AWARD INFORMATION

This section summarizes the award period of performance and the total amount of funding available under the FY 2009 IBSGP, describes the basic distribution method used to determine final grants awards, and identifies all eligible applicants for FY 2009 funding.

### ***Award Period of Performance***

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

### ***Available Funding***

In FY 2009, the total amount of funds distributed under the IBSGP will be \$11,658,000. The available funding will be divided into two tiers, as summarized in Table 1. As with the FY 2008 program, eligible FY 2009 IBSGP applicants will be placed into one of two tiers. Tier I will be comprised of the larger intercity bus systems in the country that operate at least 250 over-the-road buses and meet the other minimum eligibility requirements. Tier II will be comprised of all other intercity bus systems that meet the minimum eligibility requirements.

**Table 1. FY 2009 IBSGP Funding by Tier**

Risk Tier	FY 2009 Funding
Tier I	\$6,411,900
Tier II	\$5,246,100
TOTAL	\$11,658,000

## PART III.

# ELIGIBILITY INFORMATION

### A. Eligible Applicants

The *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329) provides discretionary funds for grant programs to address security enhancements for fixed route intercity and charter bus transportation services. Per the 9/11 Act, the only eligible grantees for the FY 2009 IBSGP are private operators providing transportation by an over-the-road bus.

#### ***Minimum Eligibility Requirements***

Eligibility for funding under both tiers is limited to applicants meeting one or both of the following criteria:

- Operate fixed route intercity bus transportation providing services to a defined Urban Areas Security Initiative (UASI) jurisdiction. See Part III Section D for a list of FY 2009 UASI jurisdictions.
- Operate a charter bus service using over-the-road buses and provide a minimum of 50 trips annually to one or more defined UASI jurisdictions.

The following definitions are applicable for the purpose of meeting FY 2009 program eligibility requirements:

- ***Fixed route, intercity bus service*** is defined as passenger transportation service provided to the general public for compensation over specified, predetermined, and published routes between cities or terminals using over-the-road-buses.
- ***Charter bus service*** is defined as a bus service that operates neither over fixed routes nor on regular schedules. A charter bus service is characterized by the rental of a bus and the services of a driver to a person or group where all passengers embark and disembark at the same point. A charter bus service must use over-the-road buses.
- ***An over-the-road bus*** is defined as a vehicle designated for long-distance transportation of passengers, characterized by integral construction with an elevated passenger deck located over a baggage compartment and at least 35 feet in length with a capacity of more than 30 passengers.

- **An Urban Areas Security Initiative (UASI) jurisdiction** is defined in the Homeland Security Grant Program (HSGP) FY 2009 Program Guidelines and Application Kit. Part III Section D provides a list of FY 2009 UASI jurisdictions.
- **A trip** is defined as a single bus journey from an embarkation point to the furthest destination in that journey. For example, a trip from New York City to Denver to San Francisco would be considered a single trip. A trip is made to a defined UASI jurisdiction if at any point in the trip the bus stops in a UASI jurisdiction and embarks or disembarks passengers. For example, a trip from Newburgh, NY to Manhattan to Charleston, WV is a trip to a defined UASI jurisdiction if passengers embark or disembark in Manhattan. Part III Section D provides a list of FY 2009 UASI jurisdictions.
- **Tier I** is defined as intercity bus companies that have an operational fleet of 250 buses or more and meet the minimum eligibility requirements established above.
- **Tier II** is defined as all other intercity bus systems that meet the minimum eligibility requirements established above.

Note: Intracity bus service is not eligible for funding under the FY 2009 IBSGP. Funding for intracity bus security is being addressed through the FY 2009 Transit Security Grant Program.

### **Ineligible Service Categories**

- School buses
- Fixed service routes under contract to transit authorities within UASI jurisdictions
- Fixed service routes not stopping in qualifying UASI jurisdictions
- Intracity trolley and/or tour services
- Bus company owners that are not operators

Note: Eligible applicants may submit one application for funding of up to three projects. If a bus company operates both a fixed route and a charter bus service, only one application may be submitted for that company. However, the specific projects included in that application may address one or both of the services, assuming both are eligible under the FY 2009 IBSGP guidelines.

### **Eligible Applicants and the Role of State Administrative Agencies (SAA)**

The Federal Emergency Management Agency (FEMA) will ensure that SAAs are aware of bus projects funded under this program.

## **B. Cost Sharing**

The maximum Federal share of any project supported through IBSGP is 75%. Therefore, grantees are required to provide non-Federal funding (cash or in-kind) of at least 25% of approved project costs for the FY 2009 IBSGP. For example, if the total

project cost is \$100,000, the maximum the DHS grant award would be is \$75,000 with the grantee required to provide the remaining 25%, or \$25,000, of the project cost.

Please see 2 CFR Part 215.23 for further details on cost-sharing requirements for IBSGP grantees.

### C. Restrictions

Please see Section IV.E. for Management and Administration (M&A) limits, and allowable/unallowable costs guidance.

### D. Other

FY 2009 Tier 1 Urban Areas	
(CA) Los Angeles/Long Beach Area	(NJ) Jersey City/Newark Area
(CA) Bay Area	(NY) New York City Area
(DC) National Capital Region	(TX) Houston Area
(IL) Chicago Area	
FY 2009 Tier 2 Urban Areas	
(AZ) Phoenix Area	(NV) Las Vegas Area
(AZ) Tucson Area	(NY) Albany Area
(CA) Riverside Area	(NY) Buffalo Area
(CA) Sacramento Area	(NY) Rochester Area
(CA) San Diego Area	(NY) Syracuse Area
(CA) Anaheim/Santa Ana Area	(OH) Cincinnati Area
(CA) Oxnard Area	(OH) Cleveland Area
(CO) Denver Area	(OH) Columbus Area
(CT) Bridgeport Area	(OH) Toledo Area
(CT) Hartford Area	(OK) Oklahoma City Area
(FL) Fort Lauderdale Area	(OK) Tulsa Area
(FL) Jacksonville Area	(OR) Portland Area
(FL) Miami Area	(PA) Philadelphia Area
(FL) Orlando Area	(PA) Pittsburgh Area
(FL) Tampa Area	(PR) San Juan Area
(GA) Atlanta Area	(RI) Providence Area
(HI) Honolulu Area	(TN) Memphis Area
(IN) Indianapolis Area	(TN) Nashville Area
(KY) Louisville Area	(TX) Austin Area
(LA) Baton Rouge Area	(TX) Dallas/Fort Worth/Arlington Area
(LA) New Orleans Area	(TX) El Paso Area
(MA) Boston Area	(TX) San Antonio Area
(MD) Baltimore Area	(UT) Salt Lake City Area
(MI) Detroit Area	(VA) Richmond Area
(MN) Twin Cities Area	(VA) Norfolk Area
(MO) Kansas City Area	(WA) Seattle Area
(MO) St. Louis Area	(WI) Milwaukee Area
(NC) Charlotte Area	

PART IV.  
**APPLICATION AND SUBMISSION  
INFORMATION**

**A. Address to Request Application Package**

DHS participates in the Administration's e-government initiative. As part of that initiative, all applications must be filed using the Administration's common electronic "storefront" -- [grants.gov](http://www.grants.gov). Eligible entities must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>. To access application forms and instructions, select "Apply for Grants," and then select "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions." If you experience difficulties or have any questions, please call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

**B. Content and Form of Application**

**1. On-line application.** The on-line application must be completed and submitted using [grants.gov](http://www.grants.gov) after Central Contractor Registry (CCR) registration is confirmed. The on-line application includes the following required forms and submissions:

- Investment Justification
- Any additional Required Attachments
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B Assurances
- Standard Form 424C, Budget Information-Construction Form (if applicable)
- Standard Form 424D, Assurances-Construction Programs (if applicable)
- Standard Form LLL, Disclosure of Lobbying Activities

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "*Intercity Bus Security Grant Program*." The CFDA number is **97.057**.

**2. Application via [grants.gov](http://www.grants.gov).** FEMA participates in the Administration's e-government initiative. As part of that initiative, all applicants must file their applications using the Administration's common electronic "storefront" -- [grants.gov](http://www.grants.gov). Eligible entities must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

3. **DUNS number.** The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within [grants.gov](http://grants.gov) and for CCR Registration. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.
4. **Valid Central Contractor Registry (CCR) Registration.** The application process also involves an updated and current registration by the applicant. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for funding through [grants.gov](http://grants.gov).
5. **Investment Justification.** As part of the FY 2009 IBSGP application process, applicants must develop a formal Investment Justification that addresses each initiative being proposed for funding, including estimated M&A costs. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities. The Investment Justification must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the Investment Justification is consistent with all applicable requirements outlined in this application kit.

IBSGP applicants must provide information in the following categories for each proposed investment, as captured by the Investment Justification template detailed on pages 13-18:

- I. Background
- II. Strategic and program priorities
- III. Impact
- IV. Funding and implementation Plan

#### Data Submission Requirements for Tier I and II

To be considered under for the FY 2009 IBSGP applicants must furnish fleet size within their application in section I.C. of the investment justification template on page 14. Applicants that meet the minimum IBSGP eligibility requirements **and** maintain an operational fleet of at least 250 over-the-road buses used in fixed route or charter service categories will be designated as Tier I. Other applicants that meet the minimum eligibility requirements will be considered in Tier II. Applicants are asked to provide the following data within section I.C. of their investment justification:

- Total number of over-the-road buses in service (excluding vehicles not in operation).
- Total number of over-the-road buses in eligible service categories.
- The number of over-the-road buses utilized in each eligible service category and the UASI jurisdiction(s) being served. Also, identify how many of these service multiple UASI jurisdictions.

- A source which would allow DHS to verify fleet size, such as standard inventory documents, insurance policies on covered buses, copies of Unified Carrier Registrations, Single State Registrations, Department of Transportation numbers, etc.

Applicants that provide incorrect fleet size data may be ineligible to receive IBSGP funding.

**6. Detailed budget.** The applicant must also provide a detailed budget for the funds requested. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detail of all M&A costs. The budget should also demonstrate the required match.

The detailed budget must be submitted with the grant application as a file attachment within [grants.gov](http://grants.gov). Applicants must use the following file naming convention when submitting required documents as part of the FY 2009 IBSGP:

Legal Name of Bus Company\_IJ Number\_Budget (Example: ABC Bus Lines\_IJ#1\_Budget)

A detailed budget template is provided on pages 20-23.

**7. Vulnerability Assessment and Security Plan Certification Statement** (if applicable). If an operator already has a current (updated within the last three years) vulnerability assessment and security plan and wishes to apply for other projects, they must certify as such using the certification statement on page 24.

### Investment Justification Template

Investment Heading	
State	
Bus System Name	
Urban Area(s) Served	
Investment Name	
Investment Phase	
Requested Amount	\$

### I. Background

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

**I.A. Identify the bus system and that system's point(s) of contact (POC) and Chief Executive Officer (CEO), as well as the POC and CEO for additional bus systems/partners.**

Word Limit	Not to exceed ½ page
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<b>Response Instructions</b>	Identify the following: <ul style="list-style-type: none"> <li>• POC's name and title;</li> <li>• POC's full mailing address;</li> <li>• POC's telephone number;</li> <li>• POC's fax number;</li> <li>• POC's email address;</li> <li>• CEO's name;</li> <li>• CEO's full mailing address;</li> <li>• CEO's telephone number;</li> <li>• CEO's email address;</li> <li>• POC and CEO information (as above) for additional bus systems/partners; and,</li> <li>• Include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.</li> </ul>
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<b>I.B. Describe the extent of your operations in UASI jurisdictions. (Note – this response will help DHS determine your eligibility to participate in the FY 2009 IBSGP.)</b>	
<b>Page Limit</b>	Not to exceed ¼ page
<b>Response Instructions</b>	Provide: <ul style="list-style-type: none"> <li>• A list of UASI jurisdictions serviced;</li> <li>• <i>For charter services only</i>, the number of trips annually to each UASI jurisdiction (must be a minimum of 50 trips); and,</li> <li>• A source, such as a web site or brochure, which would allow DHS to verify service provided.</li> </ul>

<b>I.C. Describe the size of your fleet. (Note – this response will determine the Tier in which you will compete for funding as part of the FY 2009 IBSGP.)</b>	
<b>Page Limit</b>	Not to exceed ¼ page
<b>Response Instructions</b>	Provide: <ul style="list-style-type: none"> <li>• The number of over-the-road buses in your fleet; and,</li> <li>• A source, such as a web site or brochure, which would allow DHS to verify fleet size.</li> </ul>

<b>I.D. Describe your system infrastructure and scope of operations for fixed-route services and/or charter services.</b>	
<b>Page Limit</b>	Not to exceed 2 pages
<b>Response Instructions</b>	<b>For fixed-route services</b> , address each of the following factors: <ul style="list-style-type: none"> <li>○ System Infrastructure;</li> <li>○ Area of Operations;</li> <li>○ Number of Passengers (Annually);</li> <li>○ Number of Miles Driven (Annually);</li> <li>○ Number of Employees (Specify categories, such as drivers, administration, management, and mechanics);</li> <li>○ Description of Terminals/Bus Lots:             <ul style="list-style-type: none"> <li>➢ Number of Terminals/Bus Lots (Owned/Leased and Operated);</li> <li>➢ Location (street address and city) of each Terminal/Bus Lot (within which UASI jurisdiction it is located);</li> </ul> </li> <li>○ Passenger Traffic for Each Terminal;</li> <li>○ Other tenants at Each Terminal (other bus companies);</li> <li>○ Any other important system features.</li> </ul>



	<p><b>For charter services</b>, address each of the following factors:</p> <ul style="list-style-type: none"> <li>○ Company Infrastructure;</li> <li>○ Area of Operations;</li> <li>○ Number of Passengers (Annually);</li> <li>○ Number of Employees (Specify categories, such as drivers, administration, management, and mechanics);</li> <li>○ Description of Bus Lots: <ul style="list-style-type: none"> <li>➤ Number of Bus Lots (Owned/Leased and Operated);</li> <li>➤ Location of each Bus Lot (within which UASI jurisdiction it is located); and,</li> </ul> </li> <li>○ Any other important features of the charter service.</li> </ul>
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**II. Strategic and Program Priorities**

II.A. Provide an abstract for this investment.	
Page Limit	Not to exceed 1 page
Response Instructions	<p>Provide a statement summarizing this investment, addressing the following questions:</p> <ul style="list-style-type: none"> <li>● What bus security risk will the project address?</li> <li>● How will the investment address a transportation security need?</li> <li>● How will the investment enhance overall system security?</li> </ul>

II.B. Describe how the investment will address one or more of the Intercity Bus Security Fundamentals.	
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> <li>● Describe how, and the extent to which, the proposed investment addresses one or more of the following: <ul style="list-style-type: none"> <li>○ Development of assessments or security plans</li> <li>○ Operating and capital costs associated with over-the-road bus security awareness, preparedness, and response training, including training for front-line employees for potential security threats and conditions as well as training developed by institutions of higher education and by non-profit employee labor organizations, for over-the-road bus employees</li> <li>○ Live or simulated exercises for the purpose of assessing and improving the capabilities of entities to prevent, prepare for, mitigate, respond to, and recover from acts of terrorism</li> <li>○ Public awareness campaigns for enhanced over-the-road bus security.</li> <li>○ Operational costs to hire, train, and employ police and security officers, including canine units, assigned to full-time security or counterterrorism duties related to over-the-road bus transportation, including reimbursement of State, local, and tribal government costs for such personnel</li> <li>○ Modifying over-the-road buses to increase their security</li> <li>○ Installing cameras and video surveillance equipment on over-the-road buses and at terminals, garages, and over-the-road bus facilities</li> <li>○ Constructing and modifying terminals, garages, and facilities, including terminals and other over-the-road bus facilities owned by State or local governments, to increase their security</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ Establishing and improving an emergency communications system linking drivers and over-the-road buses to the recipient's operations center or linking the operations center to law enforcement and emergency personnel.</li> <li>○ Implementing and operating passenger screening programs for weapons and explosives</li> <li>○ Protecting or isolating the driver of an over-the-road bus</li> <li>○ Chemical, biological, radiological, or explosive detection, including canine patrols for such detection</li> <li>○ Acquiring, upgrading, installing, or operating equipment, software, or accessorial services for collection, storage, or exchange of passenger and driver information through ticketing systems or other means and for information links with government agencies, for security purposes</li> <li>○ Overtime reimbursement, including reimbursement of State, local, and tribal governments for costs, for enhanced security personnel assigned to duties related to over-the-road bus security during periods of high or severe threat levels, National Special Security Events, or other periods of heightened security as determined by the Secretary of DHS</li> </ul> <p><b>Note: If this investment is for a facility security enhancement, you must identify the exact location of the facility.</b></p> <ul style="list-style-type: none"> <li>• Regardless which priority above is addressed through the investment, ensure that your response includes a justification for your approach to accomplishing your goals and objectives. Provide an explanation that considers answering such questions as: <ul style="list-style-type: none"> <li>○ Has a security assessment been conducted? If so, identify who conducted the assessment, when it was completed, and summarize the results;</li> <li>○ How does the proposed approach achieve the best possible balance of enhanced security and cost effectiveness available to your organization?</li> <li>○ Other unique, organization-specific factors leading to this project investment?</li> </ul> </li> </ul>
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### III. Impact

III.A. Describe how the project offers the highest risk reduction potential at the least cost.	
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> <li>• Discuss how the project will reduce risk in a cost effective manner. <ul style="list-style-type: none"> <li>○ Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) by addressing the needs and priorities identified in earlier analysis and review; and,</li> <li>○ Identify the nature of the risk, why you consider it a 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).</li> </ul> </li> </ul>
III.B. Discuss the anticipated impacts of the investment in terms of outputs and outcomes.	
Page Limit	Not to exceed ½ page

Response Instructions	<ul style="list-style-type: none"> <li>• Outline the expected, high-level impacts this investment is expected to attain/achieve if implemented.</li> <li>• Explain at a high level how IBSGP funding will help achieve these impacts – briefly define your metrics of success in either: <ul style="list-style-type: none"> <li>• <i>Outputs (i.e., X people will be trained as a result of this program), or</i></li> <li>• <i>Outcomes (i.e., This training has been shown to increase X standard of preparedness by Y% and therefore we estimate that we will increase our baseline preparedness by Z% after the implementation of this project)</i></li> </ul> </li> </ul>
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#### IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> <li>• Complete the chart below to identify the amount of funding that is being requested for this investment only;</li> <li>• Funds should be requested by allowable cost categories (as identified in the FY 2009 IBSGP Guidance and Application Kit);</li> <li>• Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and, Applicants must indicate whether additional funding (non-FY 2009 IBSGP) will be leveraged for this investment.</li> </ul> <p><b>Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment. See Page 20 of this document for a sample format.</b></p>

	Federal IBSGP Request	Total Match (Cash or In-Kind)	Grand Total
<i>Facility Security Enhancements</i>			
<i>Enhanced Ticket Identification and Passenger Screening</i>			
<i>Vehicle and Driver Security Enhancements</i>			
<i>Emergency Communications</i>			
<i>Coordination with Local Police and Emergency Responders</i>			
<i>Training</i>			
<i>Exercises</i>			
<i>Development of Vulnerability Assessments/Security Plans</i>			
<i>M&amp;A</i>			
Total			

IV.B. Identify up to five (5) potential challenges to the effective implementation of this investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).	
Page Limit	Not to exceed ½ page
Response Instructions	<p>To identify potential challenges:</p> <ul style="list-style-type: none"> <li>• Consider the necessary steps and stages that will be required for successful implementation of the investment;</li> <li>• Identify areas of possible concern or potential pitfalls in terms of investment</li> </ul>

	<p>implementation; and,</p> <ul style="list-style-type: none"> <li>• Explain why those areas present the greatest challenge to a successful investment implementation.</li> </ul> <p>Identify the top challenges (up to 5):</p> <ul style="list-style-type: none"> <li>• For each identified challenge, provide a brief description of how the challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low);</li> <li>• The response should focus on the implementation only.</li> </ul>
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**IV.C. Discuss funding resources beyond this fiscal year’s funding that have been identified and will be leveraged to support the implementation and sustainment of this investment, including matching resources.**

<b>Page Limit</b>	Not to exceed ½ page
<b>Response Instructions</b>	<ul style="list-style-type: none"> <li>• In addition to the required match discuss other funding sources (e.g., non-IBSGP 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;</li> <li>• If no other funding resources have been identified beyond the required match, or if none are necessary, provide rationale as to why the requested FY 2009 IBSGP funding is sufficient for the implementation and sustainment of this investment.</li> </ul>

**IV.D. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.**

<b>Page Limit</b>	Not to exceed 1 page
<b>Response Instructions</b>	<p>Applicants should supply a timeline indicating the proposed milestones within the project keeping in mind the performance period on the grant is up to 36 months. The sample table below may aid the applicant.</p> <ul style="list-style-type: none"> <li>• Only include major milestones that are critical to the success of the investment;</li> <li>• While up to 10 milestones may be provided, applicants should only list as many milestones as necessary to sufficiently describe the project;</li> <li>• Milestones are for this discrete investment – those that are covered by the requested FY 2009 IBSGP funds and will be completed over the 36-month grant period;</li> <li>• Milestones should be kept to high-level, major tasks that will need to occur;</li> <li>• 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;</li> <li>• Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and,</li> <li>• 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).</li> <li>• Examples of possible milestones: <ul style="list-style-type: none"> <li>• Define kill switch implementation plan</li> <li>• Complete installation</li> <li>• Complete successful test of kill switches</li> </ul> </li> </ul>

## SAMPLE MILESTONES

Sample Project Milestones	Anticipated Dates
Grant is awarded	<b>Award Date</b>
Grantee works on EHP and Financial clearance	<b>Award Date + 3 months</b>
Grantee receives confirmation that special conditions are released	<b>Release of Funds Date</b>
Grantee works with vendors to obtain GPS Unit contract	<b>Release Date + 1 month</b>
Vendor equips GPS units onto buses	<b>Release Date + 6 months</b>
Grantee trains staff on new GPS units	<b>Release Date + 7 months</b>
GPS Project is complete	<b>Release Date + 9 months</b>
Grantee submits final closeout documents to FEMA GPD	<b>Release Date + 12 months</b>

## 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.

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

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
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**Note:** Personnel costs are only allowable for direct management and administration of the grant award, i.e., preparation of mandatory post-award reports.

**TOTAL** \_\_\_\_\_

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

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
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**TOTAL** \_\_\_\_\_

**Total Personnel & Fringe Benefits** \_\_\_\_\_

**C. Travel.** Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<u>Purpose of Travel</u>	<u>Location</u>	<u>Item</u>	<u>Computation</u>	<u>Cost</u>
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**TOTAL** \_\_\_\_\_

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

<u>Item</u>	<u>Computation</u>	<u>Cost</u>
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**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

**TOTAL** \_\_\_\_\_

**E. Supplies.** List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. (Note: Organization’s own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project. Supply costs are applicable to the overall M&A cap of three percent (3%).

<u>Supply Items</u>	<u>Computation</u>	<u>Cost</u>
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**TOTAL** \_\_\_\_\_

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

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project.

<u>Name of Consultant</u>	<u>Service Provided</u>	<u>Computation</u>	<u>Cost</u>
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**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

**Subtotal** \_\_\_\_\_

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

<u>Item</u>	<u>Location</u>	<u>Computation</u>	<u>Cost</u>
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**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

**Subtotal** \_\_\_\_\_

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

<u>Item</u>	<u>Cost</u>
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**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

**Subtotal** \_\_\_\_\_

**TOTAL** \_\_\_\_\_

**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. These costs are applicable to the overall M&A cap of three percent (3%).

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
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**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

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

**TOTAL** \_\_\_\_\_



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

<b><u>Description</u></b>	<b><u>Computation</u></b>	<b><u>Cost</u></b>
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**TOTAL** \_\_\_\_\_

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

<b><u>Budget Category</u></b>	<b><u>Federal Amount</u></b>	<b><u>Non-Federal Amount</u></b>
<b>A. Personnel</b>	_____	_____
<b>B. Fringe Benefits</b>	_____	_____
<b>C. Travel</b>	_____	_____
<b>D. Equipment</b>	_____	_____
<b>E. Supplies</b>	_____	_____
<b>F. Consultants/Contracts</b>	_____	_____
<b>G. Other</b>	_____	_____
<b>Total Direct Costs</b>	_____	_____
<b>H. Indirect Costs</b>	_____	_____
<b>* TOTAL PROJECT COSTS</b>	_____	_____

**Federal Request**                    \_\_\_\_\_

**Non-Federal Amount**            \_\_\_\_\_

## Vulnerability Assessment and Security Plan Certification Statement

Operators that have already completed vulnerability assessments and developed security plans can use the below statement as their certification, and submit it as part of their grant application. For operators that request funds for those purposes, this statement must be submitted upon request.

**I, [insert name], as [insert title] of [insert name of bus company], certify that a vulnerability assessment has been completed and a security evaluation preparedness plan has been developed or updated for my company within the last three years.**

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**Signature**

**Date**

### C. Submission Dates and Times

Completed applications must be submitted electronically through [www.grants.gov](http://www.grants.gov) **no later than 11:59 PM EST, January 13, 2009**. Late applications will neither be considered nor reviewed. Upon successful submission, a confirmation e-mail message will be sent with a [grants.gov](http://www.grants.gov) tracking number, which is needed to track the status of the application.

During the application period, DHS will identify multiple opportunities for a cooperative dialogue between the Department and potential applicants. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY 2009 IBSGP, and to help in submission of projects that will have the highest impact on reducing risks for the intercity bus systems and their customers.

### D. Intergovernmental Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>. The names and addresses of the SPOCs are listed on OMB's home page available at: <http://www.whitehouse.gov/omb/grants/spoc.html>.

## E. Funding Restrictions

In administering the program, the eligible intercity bus system(s) must comply with the following general requirements:

- 1. Management and Administration.** Any management and administration (M&A) costs associated with individual projects submitted for consideration of funding under the FY 2009 IBSGP must be included in the budget for that project. M&A costs associated with managing the overall IBSGP award itself must be accounted for separately. M&A costs may not exceed three percent (3%) of the total grant award. FY 2009 IBSGP funds may be used for the following M&A costs:
  - Hiring of full-time or part-time staff or contractors/consultants: To assist with the management of the FY 2009 IBSGP
  - Travel expenses: To assist with the management of the FY 2009 IBSGP
  - Meeting-related expenses: To assist with the management of the FY 2009 IBSGP

For a complete list of allowable meeting-related expenses, please review FAR, Part 31.2.

### 2. Minimum Project Amounts

- For Tier I applicants, the minimum amount that may be requested for projects focused on training and/or exercises is \$50,000. There is no minimum amount for vulnerability assessment or security plan development. The minimum amount that may be requested for other projects is \$100,000.
- For Tier II applicants, the minimum amount that may be requested for projects focused on training and/or exercises is \$5,000. There is no minimum amount for vulnerability assessments or security plan development. The minimum amount that may be requested for other projects is \$25,000.

### 3. Construction Projects Guidance

- FY 2009 IBSGP recipients using funds for construction projects must comply with the Davis-Bacon Act. Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website:  
<http://www.dol.gov/esa/programs/dbra/>.

- 4. Vulnerability Assessment and Security Plan.** Per the 9/11 Act, in order to be eligible, **the operator must have conducted a vulnerability assessment and developed a security plan.** If the operator already has a current (updated within the last three years) vulnerability assessment and security plan, they must certify as such. (Please see Part IV. Section B for a certification statement.) If the operator

has not conducted a vulnerability assessment and/or developed a security plan, then FY 2009 IBSGP funding may be used to meet those requirements.

**If the operator does not have a vulnerability assessment and/or security plan, or if they are not current, then the only project that they can propose is for the vulnerability assessment and security plan development. Other project requests will not be considered until the vulnerability assessments and security plans are developed and/or certified by the bus operator.** Further:

- Tier I operators must complete them within one year of the grant award. The assessments and plans must be submitted to DHS through the cooperative agreement quarterly meetings. If a grant recipient does not submit a vulnerability assessment or security plan within one year, the recipient will be required to return their grant award, in full, to DHS.
- Tier II operators are highly encouraged to complete them within one year of the grant award. Tier II operators should be prepared to submit them upon request.

Eligible grantees in both Tier I and Tier II may request FY 2009 IBSGP funding to conduct a vulnerability assessment and develop a security plan, and must still meet the above requirements. See Part IV, Section B for the Vulnerability Assessment/Security Plan certification form.

A security plan template is available on the following website:

<http://www.tsa.gov/join/grants/ibsgp.shtm>.

- 5. Corporate Security Review (CSR) and Audit.** By accepting a FY 2009 IBSGP award, the grantee must allow DHS to perform a CSR and audit upon request. Grantees will be required to provide basic information concerning critical assets, threat assessments, vulnerability assessments, management and oversight of the security plan, personnel security, training, secure areas, exercises, cyber security, and physical security countermeasures.
- 6. Allowable Costs.** Specific investments made in support of the funding priorities discussed in Part I of the grant guidance generally fall into one of seven categories. Applicants may only request funding for 3 projects under the FY 2009 IBSGP. Project components should be related as defined by the project types below. FY 2009 IBSGP allowable costs are therefore divided into the following seven categories:

#### ***Facility Security Enhancements***

FY 2009 IBSGP funds may be used for the following facility security enhancement costs:

- **Capital Projects.** Grant funds may be used on projects that focus on lighting, fencing, securing gates, door access codes, cameras, etc.
- **Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff or contractors/consultants may be hired to support facility security enhancement-related activities. The applicant's formal written procurement policy or 2 CFR Part 215 must be followed.

### ***Vehicle/Driver Security Enhancements***

FY 2009 IBSGP funds may be used for the following costs:

- Vehicle security enhancements focus on theft prevention, real-time bus inventory and inventory control, tracking, monitoring, and locating technologies. Applicants are discouraged from submitting projects that propose the use of CCTV as an on-board deterrent to terrorism. Driver security enhancements focus on protection for the bus driver to prevent would-be terrorists from immobilizing the driver and/or hijacking the bus.
- Full or Part-Time Staff or Contractors/Consultants. Full or part-time staff or contractors/consultants may be hired to support security enhancement-related activities. The applicant's formal written procurement policy or 2 CFR Part 215.40, Procurement Standards, must be followed.

### ***Passenger Screening***

FY 2009 IBSGP funds may be used for the implementation and operation of passenger screening programs. These screening programs should focus on weapons and explosives.

### ***Training***

FY 2009 IBSGP funds may be used for the following training activities:

- Training Workshops and Conferences. Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.
- Full or Part-Time Staff or Contractors/Consultants. Full or part-time staff may be hired to support training-related activities. The services of contractors/consultants may also be procured by the State in the design, development, conduct, and evaluation of CBRNE training. The applicant's formal written procurement policy or 2 CFR Part 215.40, Procurement Standards, must be followed.
- Overtime and Backfill Costs. Overtime and backfill costs associated with the design, development, and conduct of CBRNE training are allowable expenses. Payment of overtime expenses will be for work performed by recipient or sub-recipient employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the training project(s). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that the event being attended is a DHS-approved course. Grant funds cannot be used for personnel or salary costs for employees to attend training sessions. Grantees seeking to claim overtime or backfill costs will be required to submit verification. Straight time costs are not eligible expenses.
- Travel. Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending DHS-approved courses. These costs must be in accordance with State law

as highlighted in FAR Part 31.2. Recipients must also follow State regulations regarding travel. If a grantee does not have a travel policy they must follow Federal guidelines and rates, as explained in 2 CFR Part 215.

- Supplies. Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).
- Other Items. These costs include the rental of space/locations for planning and conducting training, badges, etc.

Note: FY 2009 IBSGP funding is not intended as a hiring program and funds may not be used to support hiring that would support new or existing full-time employee positions.

### **Exercises**

FY 2009 IBSGP funds may be used for the following exercise activities:

- Exercise Planning Workshop. Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.
- Contractors/Consultants. Contractors/Consultants staff may be hired to support exercise-related activities. The services of contractors/consultants may also be procured to support the design, development, conduct, and evaluation of terrorism exercises. The applicant's formal written procurement policy or 2 CFR Part 215.40, Procurement Standards, must be followed.
- Overtime and Backfill Costs. Overtime and backfill costs associated with the design, development, and conduct of terrorism exercises are allowable expenses. Payment of overtime expenses will be for work performed by employees of public sector recipients or sub-recipients in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is a DHS sponsored exercise. Grant funds cannot be used for personnel or salary costs for employees to attend exercises. Grantees seeking to claim overtime or backfill costs will be required to submit verification. Straight time costs are not eligible expenses.
- Travel. Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s). These costs must be in accordance with State law as highlighted in FAR Part 31.2. Recipients must also follow State regulations regarding travel. If a State or Territory does not have a travel policy they must follow Federal guidelines and rates, as explained in 2 CFR Part 215.
- Supplies. Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).

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

### ***Development of Vulnerability Assessment and Security Plans***

FY 2009 IBSGP funds may be used for the following types of activities:

#### Vulnerability Assessments

- The identification and evaluation of critical assets and infrastructure, including platforms, stations, terminals, and information systems
- The identification of vulnerabilities to those assets and infrastructure
- The identification of weaknesses in physical security; passenger and cargo security; the security of programmable electronic devices, computers, or other automated systems which are used in providing over-the-road bus transportation; alarms, cameras, and other protection systems; communications systems and utilities needed for over-the-road bus security purposes, including dispatching systems; emergency response planning; and employee training

#### Security Plans

- The identification of a security coordinator having authority to implement security actions, coordinate security improvements, and receive communications from appropriate Federal officials regarding over-the-road bus security
- A list of needed capital and operational improvements
- Procedures to be implemented or used by the operator in response to a terrorist attack, including evacuation and passenger communication plans that include individuals with disabilities
- The identification of steps taken with State and local law enforcement agencies, emergency responders, and Federal officials to coordinate security measures and plans for response to a terrorist attack
- A strategy and timeline for conducting training to prepare front-line employees for potential security threats and conditions
- Enhanced security measures to be taken by the operator when the Secretary declares a period of heightened security risk
- Plans for providing redundant and backup systems required to ensure the continued operation of critical elements of the operator's system in the event of a terrorist attack

#### ***Other Authorized Expenditure Guidance***

- Emergency communications technology that focus on theft prevention, real-time bus inventory, tracking, monitoring, and locating technologies.
- Coordinating with local police and emergency responders that are evaluated as activities to address the response to and recovery of a catastrophic event and/or a terrorist attack.
- Training and Exercises that focus on domain awareness training and participating in exercises to coordinate and prepare for an incident or attack.

- Improvement of ticket identification and further implementation of passenger and baggage screening enhancements that focus on programs which utilize an established methodology for screening passengers, their carry-on baggage, and/or their checked baggage, for weapons and/or explosives.

Note: For equipment, unless otherwise noted, equipment must be certified that it meets required regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. Equipment must comply with the Occupational Safety and Health Administration (OSHA) requirement for certification of electrical equipment by a nationally recognized testing laboratory, and demonstrate compliance with relevant DHS-adopted standards through a supplier's declaration of conformity with appropriate supporting data and documentation per ISO/IEC 17050, parts 1 and 2. In addition, agencies must have all necessary certifications and licenses for the requested equipment, as appropriate prior to the request. Any equipment purchased with IBSGP funds must be solely used for IBSGP projects and cannot have a dual-use function. For instance, a computer used to monitor a CCTV system cannot also be used for general office work.

A list of applicable standards is found at the following website: <http://rkb.mipt.org>.

## **7. Unallowable Costs**

FY 2009 IBSGP funds may not be used for the following activities:

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, recurring operating costs (e.g., cell phone services, maintenance contracts, etc.), weapons systems, and ammunition
- Activities unrelated to the completion and implementation of projects approved under the IBSGP
- Personnel costs (except as noted under Allowable Training, Exercise, and Management & Administration Costs above)
- Maintenance costs
- Monthly service charges or recurring costs
- Pre-agreement costs (i.e., costs incurred prior to the start of the grant period)
- Other indirect costs (i.e. property purchase, depreciation, or amortization expenses)



## PART V.

# APPLICATION REVIEW INFORMATION

### A. Review Criteria

The review panel uses the following criteria to score applications. Applicants can score up to 110 points.

***Funding priorities.*** Projects will be evaluated and prioritized based on the extent to which they address the specific funding priorities contained in Part I of this *FY 2009 Program Guidance and Application Kit*. The investment justification should provide details on specific needs to be addressed, vision, goals and objectives. It should also provide evidence of how the project fits into an overall effort to meet critical infrastructure security requirements, and how the investment provides significant security impact.

**Possible Review Panel Score: 0-55 points**

***Cost effectiveness.*** Projects will be evaluated and prioritized on 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 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.

**Possible Review Panel Cost Effectiveness Score: 0-10 points**

***Ability to reduce risk of catastrophic events.*** Projects will be evaluated and prioritized on their ability to reduce risk. The investment justification should demonstrate an ability to reduce risk, providing evidence of the project's security impact, consequence of not funding the project, and strategy to address specific risk areas.

**Possible Review Panel Risk Reduction Score: 0-15 points**

***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, as well as offer a long-term sustainability plan.

## **Possible Review Panel Sustainability Score: 0-10 points**

**Timelines.** Projects will be evaluated and prioritized on the ability of the applicant to complete the proposed project within submitted timeframes. 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.

## **Possible Review Panel Timelines Score: 0-10 points**

**Risk to critical infrastructure** as determined by TSA. Priority will be given to bus systems serving *Tier 1 and Tier 2 UASI* jurisdictions within the Homeland Security Grant Program and to systems with routes passing through underwater tunnels.

## **Possible Review Panel Critical Infrastructure Score: 0-10 points**

### **B. Review and Selection Process**

The FY 2009 IBSGP will use risk-based prioritization consistent with DHS policy. The following method of selection will be followed under this program:

- FEMA, in conjunction with the Transportation Security Administration (TSA), will verify compliance with each of the administrative and eligibility criteria identified in the application kit.
- Eligible applications will be reviewed and scored by a Federal interagency working group, including representatives from TSA, Federal Motor Carrier Safety Administration (FMCSA), and FEMA.
- TSA and FEMA will review the interagency recommendations and make recommendations for funding to the Secretary of Homeland Security.

### **C. Anticipated Announcement and Award Dates**

FEMA will evaluate and act on applications within 60 days following close of the application period, consistent with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329). Awards will be made on or before September 30, 2009.

## PART VI.

# AWARD ADMINISTRATION INFORMATION

### A. Notice of Award

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award date.” Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. Follow the directions in the notification and log into GMS to access the award documents. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification, please contact your Program Analyst for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option 3, to obtain the username and password associated with the new award.

The period of performance is 36 months. Any unobligated funds will be deobligated at the end of the 90 day close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

### B. Administrative and National Policy Requirements

**1. Standard Financial Requirements.** The grantee and any subgrantee shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:

#### 1.1 -- Administrative Requirements.

- 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110)

#### 1.2 -- Cost Principles.

- 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)
- 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21)
- 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122)
- Federal Acquisition Regulations (FAR), Part 31.2 Contract Cost Principles and Procedures, Contracts with Commercial Organizations

### **1.3 -- Audit Requirements.**

- OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations

**1.4 -- Duplication of Benefits.** There may not be a duplication of any federal assistance, per A-87, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Circular may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements.

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

### **3. Technology Requirements.**

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

**3.2 -- Geospatial Guidance.** Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). FEMA encourages grantees to align any geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/grants>.

**3.3 -- 28 CFR Part 23 Guidance.** FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, Criminal Intelligence Systems Operating Policies, if this regulation is determined to be applicable.

### **4. Administrative Requirements.**

**4.1 -- Freedom of Information Act (FOIA).** FEMA recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the

FEMA FOIA Office, and may likely fall within one or more of the available exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. The applicant may also consult FEMA regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.

**4.2 -- Protected Critical Infrastructure Information (PCII).** The PCII Program, established pursuant to the Critical Infrastructure Information Act of 2002 (Public Law 107-296) (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector to voluntarily submit sensitive information regarding critical infrastructure to DHS. The Act also provides statutory protection for voluntarily shared CII from public disclosure and civil litigation. If validated as PCII, these documents can only be shared with authorized users who agree to safeguard the information.

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

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

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000 et. seq.* – no person on the grounds of race, color, or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance.
- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794* – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance.

- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §1681 et seq.* – discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. §6101 et seq.* – no person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of or subjected to discrimination under any program or activity receiving Federal financial assistance.

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

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

**4.5 -- Integrating individuals with disabilities into emergency planning.** Section 504 of the Rehabilitation Act of 1973, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial from FEMA. In addition, Executive Order 13347, *Individuals with Disabilities in Emergency Preparedness* signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Executive Order 13347 requires the Federal government to encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

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

- **Comprehensive Preparedness Guide 301 (CPG-301): Interim Emergency Management Planning Guide for Special Needs Populations:** CPG-301 is designed to aid tribal, State, territorial, and local governments in planning for individuals with special needs. CPG-301 outlines special needs considerations for: Developing Informed Plans; Assessments and Registries; Emergency Public Information/Communication; Sheltering and Mass Care; Evacuation; Transportation; Human Services/Medical Management; Congregate Settings; Recovery; and Training and Exercises. CPG-301 is available at <http://www.fema.gov/pdf/media/2008/301.pdf>.
- **Guidelines for Accommodating Individuals with Disabilities in Disaster:** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center:** A web-based “Resource Center” that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The “Resource Center” is available at <http://www.disabilitypreparedness.gov>.
- **Lessons Learned Information Sharing (LLIS) resource page on Emergency Planning for Persons with Disabilities and Special Needs:** A true one-stop resource shop for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

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

**4.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts.** In accordance with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329), grant funds must comply with the following two requirements:

- None of the funds made available shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC §8251 et Seq.), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).
- None of the funds made available shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC §13212).

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

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

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

Because of the potential for significant adverse effects to EHP resources or public controversy, some projects may require an additional assessment or



report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the EHP review that are necessary to address potential adverse impacts. Grantees may use these funds toward the costs of preparing such documents and/or implementing treatment or mitigation measures. Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

Recipient shall not undertake any project having the potential to impact EHP resources without the prior approval of FEMA, including but not limited to communications towers, physical security enhancements, new construction, and **modifications to buildings, structures and objects** that are 50 years old or greater. Recipient must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project scope of work will require re-evaluation for compliance with these EHP requirements. If ground disturbing activities occur during project implementation, the recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the recipient will immediately cease construction in that area and notify FEMA and the appropriate State Historic Preservation Office. **Any construction activities that have been initiated without the necessary EHP review and approval will result in a non-compliance finding and will not be eligible for FEMA funding.**

For more information on FEMA's EHP requirements, grantees should refer to FEMA's Information Bulletin #271, *Environmental Planning and Historic Preservation Requirements for Grants*, available at <http://ojp.usdoj.gov/odp/docs/info271.pdf>. Additional information and resources can also be found at <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm>.

**4.8 -- Royalty-free License.** Applicants are advised that FEMA reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: (a) the copyright in any work developed under an award or sub-award; and (b) any rights of copyright to which an award recipient or sub-recipient purchases ownership with Federal support. Award recipients must agree to consult with FEMA regarding the allocation of any patent rights that arise from, or are purchased with, this funding.

**4.9 -- FEMA GPD Publications Statement.** Applicants are advised that all publications created with funding under any grant award shall prominently contain the following statement: "This document was prepared under a grant from FEMA's Grant Programs Directorate, U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the

authors and do not necessarily represent the official position or policies of FEMA's Grant Programs Directorate or the U.S. Department of Homeland Security."

**4.10 -- Equipment Marking.** Applicants are advised that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the U.S. Department of Homeland Security."

**4.11 -- Disadvantaged Business Requirement.** Applicants are advised that, to the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent practicable.

**4.12 -- National Preparedness Reporting Compliance.** *The Government Performance and Results Act (Public Law 103-62) (GPRA)* requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. FEMA anticipates using this information to inform future-year grant program funding decisions. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by the Department of Homeland Security, Office of the Inspector General, or the Government Accountability Office.

## C. Reporting Requirements

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

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

FSRs **must be filed online** through the PARS.

Reporting periods and due dates:

- October 1 – December 31; *Due January 30*
- January 1 – March 31; *Due April 30*
- April 1 – June 30; *Due July 30*
- July 1 – September 30; *Due October 30*

- 2. Categorical Assistance Progress Report (CAPR).** Following an award, the awardees will be responsible for submitting CAPRs on a semi-annual basis; CAPRs should address performance measures and activities as described in the Investment Justification(s). The applicable entities are responsible for completing and submitting the CAPR reports.

The CAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Future awards and fund drawdowns may be withheld if these reports are delinquent.

CAPRs must be filed online at <https://grants.ojp.usdoj.gov>. Guidance and instructions can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

***Required submission: CAPR (due semi-annually).***

- 3. Exercise Evaluation and Improvement.** Exercises, implemented with grant funds, should be threat and performance-based and should evaluate performance of the targeted capabilities required to respond to the exercise scenario. Guidance related to the conduct exercise evaluations and the implementation of improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Manual* located at <http://www.fema.gov/government/grant/administration.shtm>. Grant recipients must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with FEMA support (grant funds or direct support) and submitted to the FEMA secure Portal (<https://preparednessportal.dhs.gov/>) within 60 days following completion of the exercise.

The AAR documents the demonstrated performance of targeted capabilities and identifies recommendations for improvements. The IP outlines an exercising jurisdiction(s) plan to address the recommendations contained in the AAR. At a minimum, the IP must identify initial action items and be included in the final AAR. Guidance for the development of AARs and IPs is provided in the HSEEP manual.

***Required submissions: AARs and IPs (as applicable).***

**4. Financial and Compliance Audit Report.** Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2009 IBSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

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

### **Monitoring**

Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Programmatic monitoring may also include the Regional Federal Preparedness Coordinators, when appropriate, to ensure consistency of project investments with Regional and National goals and policies, as well as to help synchronize similar investments ongoing at the Federal, State, and local levels.

Monitoring will be accomplished through a combination of office-based reviews and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed.

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

### **Grant Close-Out Process**

Within 90 days after the end of the period of performance, grantees must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the project as closed, list any

remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. The grantee is responsible for returning any funds that have been drawdown but remain as unliquidated on grantee financial records.

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

## PART VII.

# FEMA CONTACTS

This section describes several resources that may help applicants in completing a FEMA grant application. During the application period DHS will identify multiple opportunities for a cooperative dialogue between the Department and applicants. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY 2009 IBSGP and to help in submission of projects that will have the highest impact on reducing risks.

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

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

- 2. Grant Programs Directorate (GPD).** FEMA GPD will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. 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](mailto:ASK-GMD@dhs.gov).
- 3. GSA's State and Local Purchasing Programs.** The U.S. General Services Administration (GSA) offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.
  - Cooperative Purchasing Program  
Cooperative Purchasing, authorized by statute, allows State and local governments to purchase a variety of supplies (products) and services under

specific GSA Schedule contracts to save time, money, and meet their everyday needs and missions.



The Cooperative Purchasing program allows State and local governments to purchase alarm and signal systems, facility management systems, firefighting and rescue equipment, law enforcement and security equipment, marine craft and related equipment, special purpose clothing, and related services off of Schedule 84 and Information Technology products and professional services off of Schedule 70 and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing for these categories is authorized under Federal law by the *Local Preparedness Acquisition Act* (Public Law 110-248) and Section 211 of the *E-Government Act of 2002* (Public Law 107-347).

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

- Disaster Recovery Purchasing Program

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

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

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

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find a local customer service director in your area. For assistance at the national level, contact Tricia Reed at [tricia.reed@gsa.gov](mailto:tricia.reed@gsa.gov), (571) 259-9921. More information is available on all GSA State and local programs at: [www.gsa.gov/stateandlocal](http://www.gsa.gov/stateandlocal).

- 4. Exercise Direct Support.** FEMA provides support to Regions, States, and local jurisdictions in accordance with State Homeland Security Strategies and the Homeland Security Exercise and Evaluation Program (HSEEP). Support is available to conduct a Training and Exercise Plan (TEP) workshop, to develop a Multi-year TEP, and to build or enhance the capacity of a jurisdiction to design, develop, conduct, and evaluate effective exercises

In FY 2009, support for planning and conduct of exercises has shifted in strategy from a State-focused approach, organized by National Preparedness Directorate Headquarters, to a regional (multi-State) approach, organized by the FEMA Regions, to more effectively integrate national, regional, territorial, tribal, State, and local preparedness exercises. At this time, the Regional Exercise Support Program will support discussion-based exercises (i.e., seminar, workshop or tabletop), operations-based exercises (i.e. drills, functional exercises, full scale exercises), and TEP workshops within each of the 10 FEMA Regions. The Regional Exercise Support Program support is not limited to new exercise initiatives and can be applied to ongoing exercises to maintain continuity of existing planning schedules. Applicants are encouraged to coordinate requests for exercise support through the appropriate FEMA Regional Exercise Officer. State requests for support will be considered, however, priority will be given to exercise initiatives that support collaboration within a Region.

Additional guidance on the Regional Exercise Support Program to include the application process and information on the HSEEP is available on the HSEEP website, <https://hseep.dhs.gov>.

- 5. Homeland Security Preparedness Technical Assistance Program.** The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

More information can be found at [http://www.fema.gov/about/divisions/pppa\\_ta.shtm](http://www.fema.gov/about/divisions/pppa_ta.shtm).

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

The LLIS website also includes a national directory of homeland security officials, as well as an updated list of homeland security exercises, events, and conferences.



Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system. The LLIS website is <https://www.llis.gov>.

- 7. Information Sharing Systems.** FEMA encourages all State, regional, local, and Tribal entities using FY 2009 funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at [leoprogramoffice@leo.gov](mailto:leoprogramoffice@leo.gov) or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.

## PART VIII.

# OTHER INFORMATION

### ***Specific to For-Profit Entities***

For-profit organizations are eligible to apply for funding under the IBSGP. The following requirements apply specifically to for-profit entities receiving Federal funding from FEMA.

1. Recipients of IBSGP funds must comply with the contract cost principles as defined in the Federal Acquisition Regulations (FAR), Part 31.2 Contract Cost Principles and Procedures, Contracts with Commercial Organizations.
2. For purposes of financial and procedural administration of the IBSGP, recipients must comply with 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations (OMB Circular A-110) will apply, excluding Sections 40-48.
3. Recipient of IBSGP funds agree that this award may be terminated in accordance with 2 CFR Part 215.61. If the Federal Government determines that a grant will be terminated, it will be carried out in accordance with the process specified in Part 49 of the FAR.
4. Recipients of IBSGP funds may not make a profit as a result of this award or charge a management fee for the performance of this award.
5. Recipients of IBSGP funds must have a financial audit and compliance audit performed by qualified individuals who are organizationally, personally, and externally independent from those who authorize the expenditure of federal funds. This audit must be performed in accordance with the United States General Accountability Office Government Auditing Standards. The audit threshold contained in OMB Circular A-133 applies. This audit must be performed on a program-wide basis to ascertain the effectiveness of financial management systems and internal procedures that have been established to meet the terms and conditions of the award. The management letter must be submitted with the audit report. Recipient audit reports must be submitted no later than nine (9) months after the close of each fiscal year during the term of the award. The distribution of audit reports shall be based on requirements in the current edition of 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110). Note: If your audit disclosed findings or recommendations, you must include with your audit report a corrective action plan containing the following: (1) The name and number of the contact person responsible for the corrective action plan; (2) specific

steps taken to comply with the recommendations; (3) a timetable for performance or implementation dates for each recommendation; and (4) descriptions of monitoring to be conducted to ensure implementation.

### ***Helpful Hints for Applicants***

Are the following components included in the application package?

- SF 424, SF 424A, SF 424B, SF 424C (if applicable), SF 424D (if applicable), and SF LLL
- Investment Justifications for projects
- Detailed Budgets containing only allowable costs
- Vulnerability Assessment/Security Plan Certification (if applicable)

Are the following items addressed within the investment justification narratives and detailed budgets?

- Is the type of service provided easily identifiable in the application package (Fixed Route, Charter, or Both)?
- For charter bus companies, are the number of UASI service areas identified?
- Are minimum funding requirements satisfied, as addressed in Part IV?
- For Tier I, is the cost-share requirement addressed?
- 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 investment justification as it pertains to the overall security program)
  - Does the information in the detailed budget align with the budget summary in the IJ narrative?
- Do IJs clearly explain how the projects fit into a funding priority area (as identified in Part I)?
- Does the IJ detail the value that this investment has in reducing the risk? Does it specify the current state of the company's security program, the gaps that must be filled to reduce risk, and how the project will fill that gap?
- Is the cost effectiveness of the project clearly explained in the IJ? How does this project provide a high security return on investment?
- Are timelines realistic and detailed?
- Are possible hurdles addressed in a clear and concise fashion?
- Does the M&A total no more than 3% of the total project cost?