

**Supporting Statement for  
Paperwork Reduction Act Submissions  
March 5, 2021**

**OMB Control Number: 1660 - 0112**

**Title: FEMA Preparedness Grants: Transit Security Grant Program (TSGP)**

**Form Number(s): FEMA Form 089-4, FEMA TSGP Investment Justification Background Document 089-4A, TSGP Five-Year Security Capital and Operational Sustainment Plan 089-4B, TSGP Public Transit Risk Assessment Methodology (PT-RAM), TSGP PT-RAM Gap Analysis, and TSGP PT-RAM Implementation Plan**

**General Instructions**

A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When Item 17 or the OMB Form 83-I is checked “Yes”, Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.

**Specific Instructions**

**A. Justification**

**1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information. Provide a detailed description of the nature and source of the information to be collected.**

The Transit Security Grant Program (TSGP) is a FEMA grant program that focuses on transportation infrastructure protection activities. The collection of information for TSGP is mandated by Section 1406, Title XIV of the *Implementing Recommendations of*

*the 9/11 Commission Act of 2007* (6 U.S.C. §1135), which directs the Secretary to establish a program for making grants to eligible public transportation agencies for security improvements. Additionally, information is collected in accordance with *Section 1406(c) of the Implementing Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. §1135(c)) which authorizes the Secretary to determine the requirements for grant recipients, including application requirements.

The program provides funds to owners and operators of transit systems (which include intra-city bus, ferries, and all forms of passenger rail) to protect critical surface transportation infrastructure and the traveling public from acts of terrorism, major disasters, and other emergencies. The investment justification has been separated into two documents – the investment justification and the background document. Although there are two forms, the background document is not requesting new information asked in previous years. In addition, the Public Transit Risk Assessment Methodology (PT-RAM), the PT-RAM Implementation Plan, and the PT-RAM Gap Analysis are designed to be agreed upon in the Terms and Conditions and completed during the period of performance of the TSGP grant award.

**2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection. Provide a detailed description of: how the information will be shared, if applicable, and for what programmatic purpose.**

**FEMA Form 089-4, TSGP Investment Justification** - Submitted with the application, this document provides narrative detail on proposed investments. The Investment Justification (IJ) must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities, as well as the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. The data from the IJ is collected to assist decision-making at all levels, although, it is primarily used by individual application reviewers. The application data, including the IJ, is evaluated to determine funding priorities, ability to reduce risk of catastrophic events, sustainability without additional federal funds and leveraging other funding, and timeline. Application reviewers determine funding for proposed activities identified in the application and IJ based on risk and potential to help achieve core missions of the grant programs, among other criteria listed in the Notice of Funding Opportunity.

**FEMA TSGP Investment Justification Background Document 089-4A**– Submitted with the application, this document provides background information of the eligible grantee such as point of contact information with a summation of the overall program such as critical infrastructure, ridership data and number of vehicles. The data is collected

to provide TSGP context and background of each grantee. This information will be shared with program analysts inside TSGP.

**FEMA TSGP Five-Year Security Capital and Operational Sustainment Plan 089-4B**– Submitted with the application, this document provides a five-year Security Capital and Operational Sustainment Plan regarding each submitted project. This plan must include how the agency proposes to implement capital projects and demonstrate how the agency will sustain the operational investments and capabilities after grant funding has been expended. Requests for Operational Packages (OPacks) will not be funded if the applicant does not have a Security Capital and Operational Sustainment Plan.

**FEMA TSGP Public Transit Risk-Assessment Methodology (PT-RAM)** – Included in the Transportation Security Grant Program (TSGP) Terms and Conditions Award Package, this document provides a risk baseline against which to measure security and the highest risks over time. The FEMA TSGP Public Transit Risk-Assessment Methodology (PT-RAM) uses simple algorithms to develop an estimate of relative risk for transit awardees in the TSGP. The excel methodology tool must be completed twice over the applicant’s period of performance 1) upon receiving the grant and 2) before closeout of the grant. The tool establishes a process for measuring the risk reduction return on investment associated with the Transit Security Grant Program. It assists in understanding the TSGP’s impact and helps system operators in understanding the distribution of risk within their systems. In addition, it gives transit systems a snapshot of their current security posture regarding their various asset types in threats posed within the tool; allowing for measurement of the risk reduction achieved. The collected PT-RAM data is reviewed by TSGP staff and does not drive grant award amounts. It only documents how awarded funds are invested, their impact on security risk, and measure the effectiveness of the solutions procured.

#### **FEMA TSGP PT-RAM Gap Analysis**

Submitted with the PT-RAM Methodology, the Gap Analysis provides grantees a platform to conduct an in-depth evaluation of where the transit system currently is subject to vulnerabilities and lacks capabilities to prevent, mitigate or respond to a threat. Selected areas should address at least one of the TSGP program priorities, such as Cybersecurity or Training and Exercises. The data is collected to provide TSGP context and security risks with each grantee agency. This information will be shared with program analysts inside TSGP.

#### **FEMA TSGP PT-RAM Implementation Plan**

Submitted with the PT-RAM Methodology and the Gap Analysis, the Implementation Plan worksheet assists grantees in developing a plan for implementing initiatives to address the capability gaps identified in the Gap Analysis. The Plan identifies and

analyzes goal objectives within the Gap Analysis. This Plan must include how the agency will implement the Gap Analysis goals into tangible steps to reduce high risk and security threats through TSGP funds.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

The submission of information for the FY 2021 TSGP involves the use of electronic means. Grant applicants must submit their proposals through [www.grants.gov](http://www.grants.gov) and upload the TSGP Investment Justification and all other required documents as attachments (in MS Word, Excel or other electronic format) to their TSGP application in ND Grants System at <https://portal.fema.gov>. This system is approved under OMB Control number 1660-0110. Eligible applicants must apply for funding through this portal accessible on the internet.

The submission of information for the TSGP awardees involves the use of electronic means. Grantees email the TSGP PT-RAM Methodology, Gap Analysis, and Implementation Plan documents as attachments (in MS Word, Excel or other electronic format) to the designated TSGP Preparedness Officer.

**4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

This information is not collected in any form, and therefore is not duplicated elsewhere.

**5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize.**

This information collection does not have an impact on small businesses or other small entities. A portion of the information that is routinely submitted in the course of applying for funding or reporting under certain programs or that is provided in the course of an entity's grant management activities under those programs that are under federal control may be subject to protection under an Sensitive Security Information (SSI) marking and must be properly identified and marked accordingly. SSI is a control designation used by DHS/FEMA to protect transportation security-related information. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security

information relating to air, land, or maritime transportation. Further information can be found at 49 C.F.R. Part 1520, Protection of Sensitive Security Information. For the purposes of the TSGP, and due to the high-frequency of SSI found in TSGP-related IJs, all TSGP IJs shall be considered SSI and treated as such until they have been subject to review for SSI by DHS/FEMA. Therefore, applicants shall label all application documents as SSI in accordance with 49 C.F.R. § 1520.13.

## **8. Federal Register Notice:**

**a. Provide a copy and identify the date and page number of publication in the Federal Register of the agency’s notice soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.**

A 60-day Federal Register Notice inviting public comments was published on March 12, 2021, Volume 86 FR 14144. **No comments were received.**

A 30-day Federal Register Notice inviting public comments was published on May 21, 2021, Volume FR 86 FR 27640. **No comments were received.**

**b. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

FEMA meets with the American Public Transportation Association (APTA) national association that represents this entity, as well as individual grantees, through regular program-specific conferences and workshops. Additionally, teleconferences and e-mail communications are used. These consultations focus on the nature of information needed by FEMA to manage the grant programs. There were no recommendations for changes received.

**c. Describe consultations with representatives of those from whom information is to be obtained or those who must compile records. Consultation should occur at least once every three years, even if the collection of information activities is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.**

FEMA consults on a regular basis with its rail, intra-city bus, ferry, and Amtrak operator stakeholders on a variety of issues. These consultations involve discussions regarding the nature of the information needed by FEMA to manage the grant programs.

Partners offer comments and suggestions about their reporting practices. The most common area of concern is performance reporting, as most States are very familiar and comfortable with the grant administrative and financial reporting data elements that FEMA uses. There were no recommendations for changes received.

**9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

FEMA does not provide payments or gifts to respondents in exchange for a benefit sought.

**10. Describe any assurance of confidentiality provided to respondents. Present the basis for the assurance in statute, regulation, or agency policy.**

A Privacy Threshold Analysis (PTA) was completed and approved by DHS on April 23, 2018. The Transit Security Grant Program (TSGP) is privacy sensitive and is covered by an existing Privacy Impact Assessment (PIA), DHS/FEMA/PIA-013, Grant Management Programs, July 14, 2009 and an existing System of Records Notice (SORN), DHS/FEMA-004 Grant Management Information Files, August 7, 2009, 74 FR 39705.

**11. Provide additional justification for any question of a sensitive nature (such as sexual behavior and attitudes, religious beliefs and other matters that are commonly considered private). This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.**

There are no questions of sensitive nature.

**12. Provide estimates of the hour burden of the collection of information. The statement should:**

**a. Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated for each collection instrument (separately list each instrument and describe information as requested). Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desired. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.**

The TSGP is an existing grant program that uses the forms outlined in this collection. The program provides funds to owners and operators of transit systems (which include intra-city bus, ferries, and all forms of passenger rail) to protect critical surface transportation infrastructure and the traveling public from acts of terrorism, major disasters, and other emergencies. The burden hour estimates shown on the following pages are based upon internal and external subject matter expertise. The burden to collect the necessary information has estimated to be 15,375 total annual burden hours.

Estimated Annualized Burden Hours and Costs								
Type of Respondent	Form Name/Form No.	No. of Respondents	No. of Responses per Respondent	Total No. of Responses	Average Burden per Response (in hours)	Total Annual Burden (in hours)	Average Hourly Wage Rate	Total Annual Respondent Cost
Local Government Transportation	TSGP Investment Justification, FEMA Form 089-4	123	1	123	15	1,845	\$52.00	\$95,940
Local Government Transportation	TSGP Investment Justification Background Document 089-4A	123	1	123	3 hrs.	369	\$52.00	\$19,188
Local Government Transportation	TSGP Five-Year Security Capital and Operational Sustainment Plan 089-4B	123	1	123	5	615	\$52.00	\$31,980
Local Government Transportation	TSGP Public Transit Risk Assessment Methodology (PT-RAM)	123	1	123	72	8,856	\$97.74	\$865,585
Local Government Transportation	TSGP PT-RAM Gap Analysis	123	1	123	15	1,845	\$97.74	\$180,330
Local Government Transportation	TSGP PT-RAM Implementation Plan	123	1	123	15	1,845	\$97.74	\$180,330
<b>Total</b>		738		738		15,375		\$1,373,353

**b. If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I.**

**c. Provide an estimate of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. NOTE: The wage-rate category for each respondent must be multiplied by 1.6<sup>1</sup> and this total should be entered in the cell for “Avg. Hourly Wage Rate”. The cost to the respondents of contracting out or paying outside parties for information collection activities should not be included here. Instead this cost should be included in Item 13.**

According to the U.S. Department of Labor, Bureau of Labor Statistics<sup>2</sup>, the May 2019 Occupational Employment and Wage Estimates wage rate for All Occupations working in State and Local Governments (SOC 00-0000) is \$32.50. Including the wage rate multiplier of 1.6, the fully-loaded wage rate is \$52.00 per hour. Therefore, the annual burden hour cost is estimated to be \$147,108 (\$52.00 x 2,829 hours = \$147,108).

The wage rate for Top Executives to complete the requested information (SOC 11-1000) is \$61.09 per hour, applying the 1.6 multiplier produces a fully loaded wage of \$97.74.<sup>2</sup> The annual burden hour cost is estimated to be \$1,226,246 (\$97.74 x 12,546 hours = \$1,226,246).

**13. Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. (Do not include the cost of any hour burden shown in Items 12 and 14.)**

There are no cost burdens to record keepers resulting from the collection of information.

**The cost estimates should be split into two components:**

**a. Operation and Maintenance and purchase of services component. These estimates should take into account cost associated with generating, maintaining, and disclosing or providing information. Include descriptions of methods used to estimate major cost factors including system and technology**

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<sup>1</sup> The per hour benefits multiplier for state and local workers is calculated by dividing total compensation (\$52.14, December 2019, published March 19, 2020) by wages and salaries for state and local government workers (\$32.50, December 2019, published March 19, 2020), which yields a per hour benefits multiplier of 1.6. ( $\$52.14 \div \$32.50 = 1.604308$ , rounded to 1.6). Fully-loaded wage rates are calculated by multiplying the per hour benefits multiplier by the applicable wage rate from the applicable National Occupational Employment and Wage Rates report. (1.6 per hour benefits multiplier x hourly wage rate = fully-loaded hourly wage for state and local government workers).

<sup>2</sup> May 2019 National Occupational Employment and Wage Estimates United States. [https://www.bls.gov/oes/current/oes\\_nat.htm#11-0000](https://www.bls.gov/oes/current/oes_nat.htm#11-0000). Accessed February 9, 2021.



acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred.

**b. Capital and Start-up-Cost should include, among other items, preparations for collecting information such as purchasing computers and software, monitoring sampling, drilling and testing equipment, and record storage facilities.**

<b>Annual Cost Burden to Respondents or Recordkeepers</b>				
Data Collection Activity/Instrument	*Annual Capital Start-Up Cost (investments in overhead, equipment, and other one-time expenditures)	*Annual Operations and Maintenance Costs (such as recordkeeping, technical/professional services, etc.)	Annual Non-Labor Cost (expenditures on training, travel, and other resources)	Total Annual Cost to Respondents
[Form Name/#]				
<b>Total</b>	\$0	\$0	\$0	\$0

**14. Provide estimates of annualized cost to the federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing and support staff), and any other expense that would have been incurred without this collection of information. You may also aggregate cost estimates for Items 12, 13, and 14 in a single table.**

<b>Annual Cost to the Federal Government</b>	
Item	Cost (\$)
Contract Costs [Describe]	\$0
Staff Salaries [10 GS-13 step 5, employees <sup>4</sup> spending approximately 60% of time annually for this administrative and financial data collection, multiplied by 1.46 benefits multiplier <sup>5</sup> ] 10 x \$110,022 = \$1,100,220 x 1.46 = \$1,606,321 x .60 = \$963,792	\$963,792
Facilities [cost for renting, overhead, etc. for data collection activity]	\$0
Computer Hardware and Software [cost of equipment annual lifecycle]	\$0
Equipment Maintenance [cost of annual maintenance/service agreements for equipment]	\$0
Travel	\$0
<b>Total</b>	\$963,792
<sup>4</sup> Office of Personnel Management 2021 Pay and Leave Tables for the Atlanta-Athens-Clark County-Sandy Springs, GA-AL Locality. Available online at <a href="https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/21Tables/html/ATL.aspx">https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/21Tables/html/ATL.aspx</a> . Accessed February 9, 2021.	
<sup>5</sup> Wage rate includes a 1.46 multiplier to reflect the fully-loaded wage rate.	

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-I in a narrative form. Present the itemized changes in hour burden and cost burden according to program changes or**

**adjustments in Table 5. Denote a program increase as a positive number, and a program decrease as a negative number.**

A "**Program increase**" is an additional burden resulting from an federal government regulatory action or directive. (e.g., an increase in sample size or coverage, amount of information, reporting frequency, or expanded use of an existing form). This also includes previously in-use and unapproved information collections discovered during the ICB process, or during the fiscal year, which will be in use during the next fiscal year.

A "**Program decrease**", is a reduction in burden because of: (1) the discontinuation of an information collection; or (2) a change in an existing information collection by a Federal agency (e.g., the use of sampling (or smaller samples), a decrease in the amount of information requested (fewer questions), or a decrease in reporting frequency).

"**Adjustment**" denotes a change in burden hours due to factors over which the government has no control, such as population growth, or in factors which do not affect what information the government collects or changes in the methods used to estimate burden or correction of errors in burden estimates.

Itemized Changes in Annual Cost Burden						
Data Collection Activity/Instrument	Program Change (cost currently on OMB inventory)	Program Change (new)	Difference	Adjustment (cost currently on OMB inventory)	Adjustment (new)	Difference
TSGP Investment Justification, FEMA form 089-4	2,091	1,845	246			
TSGP Investment Justification Background Document 089-4A	0	369	369			
TSGP Five-Year Security Capital and Operational Sustainment Plan 089-4B	0	615	615			
TSGP Public Transit Risk Assessment Methodology (PT-RAM)	0	8,856	8,856			
TSGP PT-RAM Gap Analysis	0	1,845	1,845			
TSGP PT-RAM Implementation Plan	0	1,845	1,845			
<b>Total</b>	2,091	15,375	13,776			

**Explain:** Three new forms are added to the collection - FEMA TSGP Public Transit Risk Assessment Methodology (PT-RAM), TSGP PT-RAM Gap Analysis, and TSGP PT-RAM Implementation Plan as these are new forms to the FEMA 089-4 Collection.

The hours have increased to 15,375 with the addition of the FEMA TSGP Public Transit Risk Assessment Methodology (PT-RAM), TSGP PT-RAM Gap Analysis, and TSGP PT-RAM Implementation Plan as these are new forms to the FEMA 089-4 Collection.

TSGP is adding these forms to the collection for project risk analysis connected to the purpose of the grant program.

**16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.**

There are no outline plans for tabulation and publication of data for this information collection.

**17. If seeking approval not to display the expiration date for OMB approval of the information collection, explain reasons that display would be inappropriate.**

This collection does not seek approval to not display the expiration date for OMB approval.

**18. Explain each exception to the certification statement identified in Item 19 “Certification for Paperwork Reduction Act Submissions,” of OMB Form 83-I.**

FEMA does not request an exception to the certification of this information collection.