



U . S . D E P A R T M E N T O F H O M E L A N D S E C U R I T Y

Office of State and Local Government Coordination and Preparedness

Office for Domestic Preparedness

*Fiscal Year 2005
Intercity Bus Security
Grant Program*

Program Guidelines and Application Kit



U.S. DEPARTMENT OF HOMELAND SECURITY

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Foreword

On October 18, 2004, the President signed the Department of Homeland Security (DHS) Appropriations Act of 2005. The 2005 appropriation is a firm commitment from the Administration and Congress to continuing the work necessary to enhance the security of the United States of America against the threat posed by terrorism.

The DHS Appropriations Act of 2005 provides \$10 million for an intercity bus security grant program. This program will improve security for operators and passengers by providing security enhancements and training for service providers and terminal facilities. ***The Fiscal Year (FY) 2005 Intercity Bus Security Grant Program reflects the intent of Congress and the Administration to create a sustainable effort for the protection of critical infrastructure from terrorism, especially explosives and non-conventional threats that would cause major loss of life and severe disruption.***

The Office for Domestic Preparedness (ODP) has designed this program in coordination with federal partner agencies and industry, including the Transportation Security Administration (TSA) within DHS, the Federal Motor Carriers Safety Administration (FMCSA) within the Department of Transportation, owners and operators of the Nation's inter-city buses, and the American Bus Association (ABA). The FY 2005 Intercity Bus Security Grant Program (IBSGP) focuses on passenger and baggage screening programs and facility security enhancements for fixed route, intercity bus services.

Above all, DHS is committed to working with the owners and operators of America's critical transportation infrastructure as part of the national effort to combat terrorism and secure our homeland.



Michael Chertoff
Secretary
Department of Homeland Security

Contents

I. Eligible Applicants and Funding Availability	1
II. Overview	4
III. Program and Application Requirements.....	6
IV. Additional National Preparedness Initiatives.....	16
V. Assistance Resources and Support	21
VI. Reporting, Monitoring and Closeout Requirements.	22
Appendix A	Authorized Program Expenditures
Appendix B	Sample Award Package
Appendix C	Guidance for the Biannual Strategy Implementation Report (BSIR)
Appendix D	Approval Process for Non-ODP Developed Courses
Appendix E	Guidance for Development of Interoperable Communications Plans
Appendix F	Sample Budget Detail Worksheet
Appendix G	Acronyms and Abbreviations

I. Eligible Applicants and Funding Availability

A. Eligible Applicants

The FY 2005 DHS Appropriations Act provides discretionary funds for a grant program to address security enhancements for intercity buses. **Based on Congressional direction, eligibility for funding under this program will be limited to owners/operators of fixed route, intercity bus services using over-the-road buses.**

For purposes of the FY 2005 IBSGP, fixed-route, intercity bus service is defined as passenger transportation service provided to the general public for compensation over specified, pre-determined, and published routes between cities or terminals using 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.

Intra-city and charter/tour bus services are not eligible for funding under the FY 2005 IBSGP. In addition, funding for transit system security is being addressed through the FY 2005 Transit Security Grant Program.

B. Funding Availability

The FY 2005 IBSGP will provide **\$9,657,138** for intercity bus security grants. Funding will be provided directly to successful applicants. Eligibility was determined based on an analysis of U.S.-based motor coach lines against the type of service provided (fixed-route, intercity bus services using over-the-road buses) and provision of service to a defined Urban Area Security Initiative (UASI) jurisdiction. A list of FY 2005 UASI jurisdictions may be found on pages 3 – 7 of the ODP FY 2005 Homeland Security Grant Program (HSGP) Program Guidelines and Application Kit, located at www.ojp.usdoj.gov/odp/docs/fy05hsgp.pdf.

Table 1 below identifies intercity bus service owners/operators eligible to submit projects for funding consideration as part of this competitive program.

Table 1. Intercity Bus Service Owners/Operators Eligible for Consideration of Funding

Eligible Companies	
88 Transit Lines, Inc.	Charleroi, PA
Academy Bus, LLC	Hoboken, NJ
Adirondack Trailways	Hurley, NY

Eligible Companies

All Aboard America	Odessa, TX
Alpha Trailways	Cincinnati, OH
Americanos U S A L L C	Albuquerque, NM
Anderson Coach & Travel	Greenville, PA
Arrow Stage Lines Inc	Phoenix, AZ
Arrow Trailways of Texas	Killeen, TX
Atlantic Express Coachways Inc	Staten Island, NY
Badger Coaches, Inc.	Madison, WI
Bieber, Carl R Tourways	Kutztown, PA
Black Hills Stage Lines, Inc.	Norfolk, NE
Bonanza Bus Lines, Inc.	Providence, RI
Burlington Trailways	West Burlington, IA
C & H Bus Lines Inc	Macon, GA
C&J Trailways	Portsmouth, NH
C-A-C Transportation, Inc	Bend, OR
Camptown Bus Lines Inc	Newark, NJ
Capital Coachways	Princetonville, OR
Capitol Trailways of Penn.	Harrisburg, PA
Carolina Trailways	Raleigh, NC
Cavalier Coach Corp	Boston, MA
Central Texas Bus Lines Inc	Waco, TX
Chenango Valley Bus Lines, Inc.	Binghamton, NY
Coach USA Western New York	North Tonawanda, NY
Colonial Trailways	Mobile, AL
Community Coach (Coach USA)	Passaic, NJ
Concord Trailways	Concord, NH
Decamp Bus Lines	Montclair, NJ
El Expreso	Houston, TX
El Paso-Los Angeles Limousine Express Inc	El Paso, TX
Eyre Bus Service	Glenelg, MD
Franciscan Lines	San Francisco, CA
Fullington Trailways	Clearfield, PA
Georgia Trailways, Ltd.	Macon, GA
Gold Line Inc	Tuxedo, MD
Golden State Transportation	Albuquerque, NM
Goodall'S Charter Bus Service	San Diego, CA
Grayline of Denver	Commerce City, CO
Greyhound Lines, Inc.	Dallas, TX
Grosvenor Bus Lines	San Francisco, CA
Gulf Coast Transportation	Houston, TX
Hampton Jitney Inc	Southampton, NY
Hudson Transit Lines/Shortline	Mahwah, NJ
Indian Trails	Owosso, MI
Industrial Bus Lines, Inc.	Binghamton, NY
International Bus Services, Inc.	Hoboken, NJ
J A T Inc	Birmingham, AL
Jefferson Lines	Minneapolis, MN

Eligible Companies

Keller Transportation Inc	Waldorf, MD
Kerrville Bus Company	San Antonio, TX
K-T Contract Services Elko	Houston, TX
Lake Front Trail Ways	Cleveland, OH
Lakeland Bus Lines	Dover, NJ
Lamers Bus Lines, Inc	Moshee, WI
Lion Corp	Rio Grande, NJ
Lone Star Bus Lines Inc	Tyler, TX
Los Rapidos Inc	Albuquerque, NM
Martz Fredericksburg	Fredericksburg, VA
Martz, Frank, Coach Company	Wilkes-Barre, PA
New York Trailways	Hurley, NY
Northwestern Trailways	Spokane, WA
Orange Belt Stages	Visalia, CA
Pacific Coast Sightseeing Tours & Charters	Gillette, WY
Panhandle Trailways	Amarillo, TX
Peoria Charter Coach Company	Peoria, IL
Peter Pan Trailways	Springfield, MA
Pine Hill Trailways	Hurley, NY
Plymouth & Brockton Street Railways Co.	Plymouth MA
Powder River Transportation Services	Old Town, ME
Prescott Transit Authority	Prescott, AZ
Quicks Commuter & Charter Bus Service	Falmouth, VA
Red and Tan Tours Inc	Jersey City, NJ
Rockland Coaches Inc	Westwood, NJ
Saddle River Trails Inc	Maywood, NJ
Short Line Systems	Hurley, NY
Southeastern Stages Inc.	Atlanta, GA
Suburban Transit Inc	New Brunswick, NJ
Suffolk Transportation Services, Inc.	Bay Shore, NY
Sunset Stages Inc	Abilene, TX
Susquehanna Trailways	Williamsport, PA
T.N.M. & O. Coaches	Lubbock, TX
Trans-Bridge Lines, Inc.	Bethlehem, PA
Trombly Bus Lines	Dracut, MA
Valley Retriever	Newport, OR
Valley Transit Company	Harlingen, TX
Van Galder Bus Company	Janesville, WI
Vermont Transit Co, Inc.	Burlington, VT
Virginia Coach Co Inc	Purcellville, VA
Wickkiser International Companies Inc	Ferndale, WA
Wilson Bus Lines Inc	East Templeton, MA
Wisconsin Coach Lines Inc	Waukesha, WI
Yellow Bus Service Inc	Annapolis Junction, MD

II. Overview

The mission of the FY 2005 IBSGP is to create a sustainable effort for the protection of critical infrastructure from terrorism, especially explosives and non-conventional threats that would cause major loss of life and severe disruption.

A. Program Overview

The FY 2005 IBSGP provides financial assistance to owners/operators of fixed route, intercity bus services to improve security for operators and passengers. ***Allowable costs comport with the FY 2005 ODP Homeland Security Grant Program (HSGP).***

B. Solicitation Overview

The FY 2005 IBSGP provides follow-on funding to the FY 2003 and FY 2004 intercity bus security grants. ***Successful applications will be selected through a competitive process.*** Based on direction from Congress, the FY 2005 program focuses on intercity, fixed-route service, passenger and baggage screening, and facility security enhancements (including bus lots).

Eligible applicants may submit one application for funding of up to five (5) individual projects that address the priorities identified in Section III: Program and Application Requirements. Each application that meets the requirements outlined in this application kit will be evaluated by a National Review Panel (NRP). At a minimum, federal staff from ODP, TSA, and FMCSA will be invited to evaluate proposals as part of the NRP in accordance with criteria contained herein. ***Funding may be awarded for all, some or none of the projects submitted based on the outcome of this evaluation process.***

The following method of selection will be followed under this program:

1. ODP will verify compliance with each of the administrative and eligibility criterion identified in the application kit
2. Eligible applications will be reviewed and scored by the NRP against the evaluation criteria contained in *Section C: Project Selection* below
3. The NRP will create a rank order listing of proposed projects
4. ODP staff will review the NRP recommendations and make final selections for funding. As part of the final selection process, ODP staff will coordinate facility security enhancement projects identified for funding with the State Administrative Agency (SAA) in the affected states to ensure consistency with the State and Urban Area Homeland Security strategies. SAA input will be factored into the final decision making process.

5. ODP will brief TSA and FMCSA management on the final selections to ensure consensus and address any remaining issues

C. Project Selection

As noted in Section B above, ODP will coordinate a review of the projects through a panel of subject-matter experts. During this review process, applications will be awarded points for each project in accordance with the following criteria:

1. Passenger and baggage screening programs (including incidental package express carried in bus baggage compartments) that focus on prevention and detection of improvised explosive devices (IEDs) and chemical, biological, radiological and nuclear devices at terminals located in defined UASI jurisdictions
2. Facility security enhancements that focus on prevention and detection of IEDs and chemical, biological, radiological and nuclear devices at terminals and bus lots located in defined UASI jurisdictions
3. Vehicle security enhancements (includes driver protection)
4. Monitoring, tracking, and communications technologies for over-the-road buses
5. Training and exercises
6. Inter-modal integration
7. Sustainability without additional federal funds
8. Innovative solutions
9. Less than \$1 million in federal funding required to complete
10. Cost sharing

Criteria will be grouped for awarding points in the following ranges:

<u>Criteria Groupings</u>	<u>Total Points for Each Grouping</u>
1, 2	1 – 40
3, 4	1 – 30
5, 6, 7	1 – 15
8, 9, 10	1 – 10

When two or more projects receive an identical score, preference will be given to the proposal that demonstrates the higher percentage cash match.

III. Program and Application Requirements

A. General Program Requirements

Applicants will be responsible for administration of FY 2005 IBSGP awards. In administering the program, the applicant must comply with the following requirements.

1. **Describe the Bus System.** As part of the application process, the applicant must include a program narrative that identifies specific point(s) of contact (POC) to work with ODP on the implementation of the FY 2005 IBSGP. The program narrative should also include the following information:
 - System Infrastructure
 - Area of Operations
 - Number of Passengers (Annually)
 - Number of Buses Owned and/or Leased
 - Number of Miles Driven Annually
 - Number of Employees (Specify categories, such as drivers, administration, management, and mechanics)
 - Description of Terminals/Bus Lots:
 - Number of Terminals/Bus Lots (Owned/Leased and Operated)
 - Passenger Traffic for Each Terminal
 - Other tenants at Each Terminal (other bus companies)
 - Any other important system features

The program narrative should also include a system map and description of the geographical borders of the system and the cities, counties, and states served. ***In addition, the program narrative should address the applicant's current prevention¹, detection and response capabilities relative to IEDs, as well as chemical, biological, radiological and nuclear devices (including sensors, canine units, etc.).***

2. **Grant Funds.** Any management and administrative costs associated with individual projects submitted for consideration of funding under the FY 2005 IBSGP must be included in the budget for that project. Management and

¹ **Prevention.** Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions taken to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice. (Source—National Incident Management System, March 2004)

administrative costs may not exceed 3% of the total approved budget of the project.

B. Specific Program Requirements

When developing project proposals, specific attention must be paid to the prevention, detection and response to incidents involving IEDs. IEDs pose a threat of great concern to transportation systems across the nation. IEDs have historically been the terrorist weapon of choice because they combine a high degree of effectiveness with minimal cost. Grantees should leverage FY 2005 IBSGP funding to develop capabilities to prevent, detect and respond to IED terrorist attacks. In addition, specific attention must also be paid to prevention, detection and response capabilities related to chemical, biological, radiological and nuclear devices. Particular areas of focus should include protection of facilities and vehicles from tampering and the ability to communicate with and track buses en route.

The following are examples of security enhancements designed to enhance IED and chemical, biological radiological and nuclear prevention and detection capabilities for inter-city bus systems:

1. Passenger and Baggage Screening for Prevention and Detection of IEDs and Chemical, Biological, Radiological and Nuclear Devices at Terminals Located in Defined UASI Jurisdictions

- Explosive Agent Detection Sensors
- Chemical/Biological/Radiological Agent Detection Sensors
- Canines (Start-up Costs and Training)
- Positive ID Ticketing Procedures
- Baggage Matching to Passengers
- Baggage Screening Technology (X-ray, Explosive detection)
- Passenger Screening (Metal detectors, Explosive detection, Behavioral screening)
- Limited Access for Passenger Waiting and Loading Areas
- Passenger Manifest

2. Facility Security Enhancements for Prevention and Detection of IEDs and Chemical, Biological, Radiological and Nuclear Devices at Terminals and Bus Lots Located in Defined UASI jurisdictions

- Explosive Agent Detection Sensors
- Chemical/Biological/Radiological Agent Detection Sensors
- Canines (Start-up Costs and Training)
- Intrusion Detection
- Video Surveillance Systems
- Secure Entry ID Systems
- Employee Identification
- Improved Lighting
- Fencing and Secured Gates

3. Vehicle/Driver Security, Monitoring, Tracking and Communications

- Explosive Agent Detection Sensors
- Chemical/Biological/Radiological Agent Detection Sensors
- Canines (Start-up Costs and Training)
- Interoperable Communications Systems
- GPS Tracking Systems
- On Board Camera Systems
- Fixed Personnel Protection (driver shields, etc.)
- Interlock Security Devices
- Kill Switch Technology

4. Training and Exercises

- Behavioral Screening Training for Frontline Employees
- Anti-terrorism Training
- Anti-Hijacking Training
- Public and Employee Awareness Programs
- Multi-disciplinary, Multi-jurisdictional Terrorism Exercises

C. General Application Requirements

The following steps must be completed using the on-line ODP Grants Management System (GMS) to ensure a successful application submission:

1. Application Process

Applicants must apply for FY 2005 IBSGP funding through GMS, at <https://grants.ojp.usdoj.gov/>. Applications must be received by ODP no later than **May 23, 2005**.

2. On-Line Application

The on-line application must be completed and submitted by an authorized representative of the applicant organization using GMS. The on-line application replaces the following previously required paper forms:

- Standard Form 424, Application for Federal Assistance
- Standard Form LLL, Disclosure of Lobbying Activities
- JP Form 4000/3, Assurances
- JP form 4061/6, Certifications
- Equipment Coordination Certification
- Non-Supplanting Certification

These grants are offered by the U.S. Department of Homeland Security, Office for Domestic Preparedness. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "Intercity Bus Security Grants." The CFDA number is **97.057**.

When completing the on-line application, applicants should identify their submissions as new, non-construction applications. The project period will be for a period not to exceed **30 months**.

3. Program Narrative

As part of the application process, the applicant must also include a program narrative that identifies specific POCs to work with ODP on the implementation of the FY 2005 IBSGP. The program narrative must also include the following information:

- System Infrastructure
- Area of Operations
- Number of Passengers (Annually)
- Number of Buses Owned and/or Leased
- Number of Miles Driven Annually
- Number of Employees. (Specify categories, such as drivers, administration, management, and mechanics)
- Description of Terminals/Bus Lots:
 - Number of Terminals/Bus Lots (Owned/Leased and Operated)
 - Passenger Traffic for Each Terminal
 - Other tenants at Each Terminal (Other bus companies)
- Any other important system features

The program narrative should also include a system map and description of the geographical borders of the system and the cities, counties, and states served. ***In addition, the program narrative should address the applicant's current prevention, detection and response capabilities relative to IEDs, as well as chemical, biological, radiological and nuclear devices (including sensors, canine units, etc.). This information may be provided using one of the attachment fields within the on-line GMS application.***

4. Individual Project Information

Applications must clearly demonstrate an ability to provide deliverables consistent with the purpose of the program and guidance provided by ODP. As such, applications must include a program plan and detailed budget for each project submitted for funding consideration:

- **Program Plan:** The applicant must provide a complete program plan for the entire project period. The program plan should clearly demonstrate how the project is consistent with all applicable requirements outlined in this application kit and addresses the rating criteria identified in *Section II: Overview*. Each program plan should not exceed five (5) pages.
- **Detailed Budget:** The applicant must also provide a detailed budget for use of the funds provided. 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. A sample budget worksheet form that can be used as a guide to assist applicants in the preparation of the budget worksheet is provided in *Appendix F: Sample Budget Worksheet*, and on the Office of Justice Programs (OJP) web site at:

<http://www.ojp.usdoj.gov/Forms/budget.pdf>.

This information may be provided using one of the attachment fields within the on-line GMS application. Projects submitted for consideration without a complete program plan and detailed budget for each project will not be considered for funding.

5. Universal Identifier

The applicant must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the application. *An application will not be considered complete until a valid DUNS number is provided by the applicant.* This number is a required field within the on-line GMS application. 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 1-800-333-0505.

6. Accounting System and Financial Capability Questionnaire

All nongovernmental (non-profit and commercial) organizations that apply for funding with ODP that have not previously (or within the last 3 years) received funding from ODP must complete the Accounting System and Financial Capability Questionnaire. The required form can be found at <http://www.ojp.usdoj.gov/oc>. ***This information may be provided using one of the attachment fields within the on-line GMS application.***

7. Freedom of Information Act (FOIA)

ODP recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information under federal control is subject to requests made pursuant to the Freedom of Information Act, 5. U.S.C. § 552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the DHS FOIA Office, and may likely fall within one or more of the available exemptions under the Act. Applicants are also encouraged to consult their 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.

8. Financial Requirements

- **Non-Supplanting Certification:** This certification, which is a required component of the on-line GMS application, affirms that these grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review, as well as in the pre-award review, post-award monitoring and any potential audits. 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.
- **Match Requirement:** There is no match requirement for this program; however, cost sharing is encouraged. For further information on allowable sources and types of funds, timing of match contributions and records for match, please consult the *OJP Financial Guide*, Chapter 3 available at <http://www.ojp.usdoj.gov/FinGuide/>.
- **Assurances:** The on-line GMS application includes a list of assurances that the applicant must comply with in order to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.
- **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement)*; 28 CFR part 69, *New Restrictions on Lobbying*; and 28 CFR part 83 *Government-wide Requirements for Drug-Free Workplace (Grants)*. All of these can be referenced at: http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html.

The certification will be treated as a material representation of the fact upon which reliance will be placed by DHS in awarding grants.

- **Suspension or Termination of Funding:** DHS, by written notice, may terminate this grant, in whole or in part, when it is in the Government's interest.

9. Drawdown and Expenditure of Funds

The Office of Justice Programs' (OJP) Office of the Comptroller (OC) will continue to provide fiscal support of the grant programs included in this solicitation. All grant and sub-grant recipients should refer to the *OJP Financial Guide*, available at: <http://www.ojp.usdoj.gov/FinGuide/>

Following **acceptance of** the grant award and release of any special conditions **withholding funds**, the Grantee can drawdown and expend grant funds through the ASAP, PAPRS or LOCES payment systems.

In support of our continuing effort to meet the accelerated financial statement reporting requirements mandated by the U. S. Department of the Treasury and the Office of Management and Budget (OMB), payment processing will be interrupted during the last five (5) working days each month. Grantees should make payment requests before the last five working days of the month to avoid delays in deposit of payments.

For example, for the month of June, the last day to request (draw down) payments will be June 23, 2005. Payments requested after June 23, 2005, will be processed when the regular schedule resumes on July 1, 2005. A similar schedule will follow at the end of each month thereafter.

To avoid denial of payment requests, grantees are encouraged to submit their SF269a Financial Status Reports (see detail in Section IV, Reporting Requirements) on-line at <http://grants.ojp.usdoj.gov>. Additional information and instructions are available at this website.

Grantees will be permitted to drawdown funds up to 120 days prior to expenditure/ disbursement, which echoes the recommendation of the Funding Task Force. Funds received by both grantees and subgrantees must be placed in an interest-bearing account and are subject to the rules outlined in the Uniform Rule 28 CFR Part 66, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, at http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html and the Uniform Rule 28 CFR Part 70, Uniform Administrative Requirements for Grants and Agreements (Including subawards) with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations, at http://www.access.gpo.gov/nara/cfr/waisidx_03/28cfr70_03.html. These guidelines state that subgrantees are required to promptly, but at least quarterly, remit interest earned on advances to:

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

Grantees and subgrantees may keep interest amounts up to \$100 per year for administrative expenses. Please consult the *OJP Financial Guide* or the applicable OMB Circular for additional guidance.

State grant recipients are subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 CFR Part 205. Interest under CMIA will accrue from the time federal funds are credited to a state account until the time the state pays out the funds to a subgrantee or otherwise for program purposes.

D. Allowable Cost Guidance

FY 2005 IBSGP allowable costs are divided into the following categories: planning, organization, equipment, training and exercises. In addition, management and administration costs are also allowable. Examples of allowable costs and activities can be found in *Appendix A, Authorized Program Expenditures*. The following provides general allowable costs guidance:

1. Management and Administration (M&A) Costs

Any management and administrative costs associated with individual projects submitted for consideration of funding under the FY 2005 IBSGP must be included in the budget for that project. Management and administrative costs may not exceed **3%** of the total approved budget of the project.

2. Construction and Renovation

Use of FY 2005 IBSGP funds for construction is generally prohibited except as outlined below. Such construction and renovation shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities.

The following actions and improvements **do not** constitute construction or renovation, and are allowable under specific IBSGP guidance:

- Improved lighting;
- Fencing (unless the project impacts an environmentally sensitive area);
- Closed-circuit television (CCTV) systems;
- Motion detection systems; and,
- Barriers, doors, gates and related security enhancements.

Project construction and renovation not exceeding \$1,000,000 is also allowable, as deemed necessary by the Executive Director, SLGCP, under the FY 2005 UASI TSGP. These program funds may be used for construction and renovation projects **only** when those projects specifically address **enhanced security at critical infrastructure facilities**. The following actions and improvements are considered to constitute construction or renovation:

- Construction and/or renovation to guard facilities;
- Communications antennas; and,
- Any other construction or renovation efforts that change or expand the footprint of a facility or structure, including security enhancements to improve perimeter security.

Approval Process: In order for grantees to drawdown funds for construction and renovation costs, the grantee must provide ODP with:

- A description of the asset or facility, asset location, whether the infrastructure is publicly or privately owned, and the construction or renovation project;
- Certification that a facility vulnerability assessment has been conducted for the facility;
- A description of how the construction or renovation project will address the identified vulnerability(ies) from the assessment; and,
- A statement on the consequences of not implementing the construction or renovation project.

Written approval must be provided by ODP prior to the use of any FY 2005 IBSGP funds for construction or renovation.

National Environmental Policy Act (NEPA). NEPA requires ODP to analyze the possible environmental impacts of each construction project. The purpose of a NEPA review is to weigh the impact of major federal actions or actions undertaken using federal funds on adjacent communities, water supplies, historical buildings, endangered species, or culturally sensitive areas prior to construction. Grantees wishing to use ODP funding for construction projects must complete and submit a **NEPA Compliance Checklist** to ODP for review. Additionally, grantees may be required to provide additional detailed information on the activities to be conducted, locations, sites, possible construction activities, possible alternatives, and any environmental concerns that may exist. Results of the NEPA Compliance Review could result in a project not being approved for ODP funding, the need to perform an Environmental Assessment (EA) or draft an Environmental Impact Statement (EIS). ***Note: Reasonable costs related to the production of an environmental assessment or an environmental impact statement are allowable.***

3. Hiring

The FY 2005 IBSGP is not intended as a hiring program, and funds may not be used to support hiring that creates a new full-time employee position. See *Appendix A, Authorized Program Expenditures*, for allowable hiring expenditures.

4. Overtime, Backfill, and Hiring Guidance

The following are definitions for the terms “hiring”, “overtime”, and “backfill” as used in this solicitation and regarding IBSGP allowable costs for planning, organizational, training, exercise, and management and administrative activities. Grantees should be aware that all non-supplanting rules apply to this section.

Overtime. Expenses incurred by those personnel who, as a result of ODP-approved activities, are performing over and above their normal, scheduled work hours or work week.

Backfill. (Also called Overtime as Backfill). Expenses incurred by those personnel who are working over and above their normal, scheduled work hours, or work week, in order

to perform the duties of other personnel who are temporarily assigned to ODP-approved activities outside their core responsibilities. ODP does not distinguish between Overtime and Overtime as Backfill – they are both viewed as overtime regardless of whether the individual has performed more hours in their normally assigned place of duty or if the overtime accrued as a result of being re-assigned to a different place of duty. Overtime and backfill do not result in an increase of full-time employees (FTEs).

Hiring. Hiring new personnel to undertake allowable ODP program activities. This may also include expenses incurred where new personnel are hired to fulfill functions and duties as a result of other existing personnel being reassigned full-time to perform ODP approved activities. In either case, this will result in an increase of FTEs, but cannot result in an increase in the number of FTE positions performing normal operational duties.

Grantees are permitted to laterally move existing safety officers to new positions that support HSGP program activities that are allowable under FY05 IBSGP guidance. In the case of lateral transfers, grant funds may be used to support only those positions that are allowable under FY05 IBSGP guidance; all nonsupplanting rules apply. Grant funds may **not** be used to support the hiring of safety officers for the purposes of fulfilling traditional safety duties or to supplant traditional safety positions and responsibilities.

There is no guarantee that recipients will receive future funding under this program. However, should future ODP funding be received, positions funded through ODP grants may continue to be supported with future year funding provided that the position is dedicated to the same or similar purposes allowable under applicable ODP program guidance.

E. Other Guidance

1. Services to Limited English Proficient (LEP) Persons

Recipients of ODP financial assistance are required to comply with several federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Grantees are 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, please see <http://www.lep.gov>.

IV. Additional National Preparedness Initiatives

As noted throughout this application kit, IEDs pose a threat of great concern to transportation systems across the nation. IEDs have historically been the terrorist weapon of choice because they combine a high degree of effectiveness with minimal cost. Grantees must leverage FY 2005 IBSGP funding to develop capabilities to prevent, detect and respond to IED terrorist attacks. In addition, specific attention must also be paid to prevention, detection and response capabilities related to chemical, biological, radiological and nuclear devices.

Beyond the detection and prevention of attacks involving IEDs and chemical, biological, radiological and nuclear devices, there are several additional national preparedness initiatives and priority focus areas that grantees should be aware of. These include Homeland Security Presidential Directives (HSPD) 5: *Management of Domestic Incidents* and HSPD-8: *National Preparedness*, which address the management of domestic incidents and national preparedness, respectively. ***Grantees are strongly encouraged to pay close attention to the language in these sections in order to stay abreast of initiatives being highlighted by DHS and, to the extent these are relevant, comply with associated program requirements.***

A. National Incident Management System

On September 8, 2004, Secretary Ridge issued a letter to governors outlining the requirements for implementing NIMS in FY 2005. This letter is available on the NIMS Integration Center (NIC) website at <http://www.fema.gov/nims/>. NIMS provides a consistent nationwide approach for federal, state, territorial, tribal, and local governments to work effectively and efficiently together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size or complexity.

The NIC is working with federal departments and agencies to ensure that they develop a plan to adopt NIMS, and that all FY 2005 federal preparedness assistance program documents begin the process of addressing NIMS implementation.

Implementation of and compliance with NIMS is critical to ensuring full and robust preparedness across our nation. HSPD-5 established ambitious deadlines for NIMS adoption and implementation. FY 2005 is a start up year for NIMS implementation and full compliance with the NIMS is not required for an applicant to receive FY 2005 grant funds. Since FY 2005 is a critical year for initial NIMS adoption, awardees should start now by prioritizing FY 2005 preparedness assistance (in accordance with the eligibility and allowable uses of the grant) to facilitate its implementation.

Minimum FY 2005 NIMS Compliance Requirements. Efforts to implement NIMS must include the following, where applicable:

- Incorporating NIMS into existing training programs and exercises;
- Ensuring that federal preparedness funding supports NIMS implementation (in accordance with the eligibility and allowable uses of the grants);
- Incorporating NIMS into emergency operations planning;
- Promotion of mutual aid agreements; and,
- Institutionalizing the use of the Incident Command System (ICS).

Grantees should support NIMS implementation, where applicable, by:

- **Having relevant personnel complete the NIMS Awareness Course: “National Incident Management System (NIMS), An Introduction” IS 700.** This independent study course is available on-line and will take between forty-five minutes to three hours to complete. The course is available on the Emergency Management Institute web page at:

<http://training.fema.gov/EMIWeb/IS/is700.asp>
- **Formally recognizing NIMS and adopting NIMS principles and policies.** The NIC will provide sample language and templates to assist in formally adopting NIMS through legislative and/or executive/administrative means.
- **Establish a NIMS baseline by determining which NIMS requirements are already satisfied.** The NIC is developing a web-based self-assessment system, the NIMS Capability Assessment Support Tool (NIMCAST) to evaluate their incident response and management capabilities. The NIC is currently piloting the NIMCAST with a limited number of states. Upon completion of the pilot, the NIC will provide all potential future users with voluntary access to the system. Additional information about the NIMCAST tool will be provided later this year.
- **Establishing a timeframe and developing a strategy for full NIMS implementation.** Grantees are encouraged to achieve full NIMS implementation during FY 2005. To the extent that full implementation is not possible during FY 2005, federal preparedness assistance must be leveraged to complete NIMS implementation in FY 2006. By FY 2007, federal preparedness assistance will be conditioned upon full compliance with NIMS.
- **Institutionalizing the use of the ICS.** Grantees that are not already using ICS, must institutionalize the use of ICS (consistent with the concepts and principles taught by DHS) across the entire response system.

FY 2006 and FY 2007 Requirements. In order to receive FY 2006 preparedness funding, the minimum FY 2005 compliance requirements described above must be met. Applicants will be required to certify as part of their FY 2006 grant applications that they have met the FY 2005 NIMS requirements.

Additional information about NIMS compliance and resources for achieving compliance will be forthcoming from the NIC. The NIC web page, <http://www.fema.gov/nims>, will be updated regularly with NIMS information and implementation guidance.

B. Homeland Security Presidential Directive/HSPD-8: National Preparedness

HSPD-8 establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters and other emergencies by requiring a National Preparedness Goal, establishing mechanisms for improved delivery of federal preparedness assistance to state and local governments and outlining actions to strengthen preparedness capabilities of federal, state, and local entities. Statewide all-hazards preparedness strategies should be consistent with the National Preparedness Goal, assess the most effective ways to enhance preparedness, address areas facing higher risk especially to terrorism, and address local government concerns and Citizen Corps efforts.

The National Preparedness Goal establishes the requirement for federal, state, local and tribal entities to achieve and sustain nationally accepted risk based target levels of capability for prevention, preparedness, response and recovery for major events, especially terrorism. The target levels of capability are based upon National Planning Scenarios, a Universal Task List (UTL), and a Target Capabilities List (TCL). These tools have been developed with input from the homeland security community at all levels and will continue to be updated over time. States should take steps in FY05 to review and incorporate these tools in their preparedness efforts in preparation for full implementation of HSPD-8 in FY06.

The National Planning Scenarios illustrate the scope and magnitude of major, catastrophic events. They include 12 terrorist attacks (including chemical, biological, radiological, nuclear, explosive, and cyber), two natural disasters and pandemic influenza. The scenarios provide detail in terms of casualties, property damage, and economic losses needed to project capability requirements for prevention, preparedness, response and recovery. Summaries of the National Planning Scenarios are available on the ODP Secure Portal located at <https://odp.esportals.com>. The full National Planning Scenarios will be made available as soon as they are finalized.

The UTL defines the essential tasks that need to be performed from the incident scene to the national level for major events illustrated by the National Planning Scenarios. The UTL also includes information on operating conditions and standards needed to develop quantifiable performance measures for planning, equipment, training, and

exercises. The UTL is available on the ODP Secure Portal located at <https://odp.esportals.com>.

The Target Capabilities List identifies thirty-six critical capabilities needed to perform the tasks identified in the UTL for the major events illustrated by the National Planning Scenarios. Capabilities are defined in broad operational terms and consist of properly planned, organized, equipped, trained, and exercised personnel needed to perform a task. The Target Capabilities List is organized by Tiers to account for reasonable differences in capability levels among entities based on population density, critical infrastructure, and other risk factors. Entities are preparedness organizations established by levels of government with participation from the private and non-profit sector, as described in NIMS. The Target Capabilities List includes performance metrics. The Target Capabilities List is available on the ODP Secure Portal located at <https://odp.esportals.com> or on the Lessons Learned Information Sharing system at <https://www.llis.gov>.

Critical Capabilities

1. Animal Health Emergency Support	19. Isolation and Quarantine
2. CBRNE Detection	20. Mass Care (Sheltering, Feeding, and Related Services)
3. Citizen Preparedness and Participation	21. Mass Prophylaxis
4. Citizen Protection: Evacuation and/or In-Place Protection	22. Medical Supplies Management and Distribution
5. Critical Infrastructure Protection	23. Medical Surge
6. Critical Resource Logistics and Distribution	24. On-Site Incident Management
7. Economic and Community Recovery	25. Planning
8. Emergency Operations Center Management	26. Public Health Epidemiological Investigation and Laboratory Testing
9. Emergency Public Information and Warning	27. Public Safety and Security Response
10. Environmental Health and Vector Control	28. Restoration of Lifelines
11. Explosive Device Response Operations	29. Risk Analysis
12. Fatality Management	30. Search and Rescue
13. Firefighting Operations/Support	31. Structural Damage Assessment and Mitigation
14. Food and Agriculture Safety and Defense	32. Terrorism Investigation and Intervention
15. Information Collection and Threat Recognition	33. Triage and Pre-Hospital Treatment
16. Information Sharing and Collaboration	34. Volunteer Management and Donations
17. Intelligence Fusion and Analysis	35. WMD/Hazardous Materials Response and Decontamination
18. Interoperable Communications	36. Worker Health and Safety

ODP will develop detailed National Preparedness Guidance (due March 2005) in coordination with federal, state, local and tribal entities that describes the National Preparedness Goal, the target levels of capability, and how to apply them in the development and update of preparedness assessments and strategies. Assessments, surveys, and data calls will be realigned over time to support the Goal. As necessary, federal regulatory requirements will be modified to support the National Preparedness Goal (to the extent permitted by law). ODP will provide information about changes in preparedness assessments and strategies in upcoming information bulletins and forums.

V. Assistance Resources and Support

A. Centralized Scheduling and Information Desk (CSID) Help Line

The CSID is a non-emergency resource for use by emergency responders across the Nation. The CSID provides general information on all ODP programs, as well as information on the characteristics and control of CBRNE materials, defensive equipment, mitigation techniques, and available federal assets and resources. The CSID also provides information on the following services: CBRNE training, scheduling support, CBRNE exercises and technical assistance (TA).

The CSID can be contacted at 1-800-368-6498 or askcsid@dhs.gov.
CSID hours of operation are from 8:00 am–7:00 pm (EST), Monday-Friday.

VI. Reporting, Monitoring and Closeout Requirements

A. Reporting Requirements

The following reports are required of all program participants:

1. Financial Status Reports (FSRs) – Standard Form 269

Obligations and expenditures must be reported to ODP on a quarterly basis through the FSRs, which are due within 45 days of the end of each calendar quarter. A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs. OJP OC will provide a copy of this form in the initial award package. ***Future awards and fund draw downs will be withheld if these reports are delinquent.***

- **Required Submission:** FSR (quarterly).

2. Biannual Strategy Implementation Reports (Categorical Assistance Progress Report)

Following award of the grant, the grantee will be responsible for providing obligation and expenditure information on a regular basis. The BSIR submission will satisfy the narrative requirements in Box 12 of the biannual Categorical Assistance Progress Reports (CAPR). ***The BSIR should account for all funds awarded, and is due within 30 days after the end of the June 30 and December 31 reporting periods.*** Updated obligation and expenditure information must be provided with each subsequent BSIR submission to show progress made in meeting strategic goals and objectives. ODP will provide a web-enabled application for BSIR submission to grantees. See *Appendix C, Guidance for the Biannual Strategy Implementation Report (BSIR)*, for additional information. ***Future awards and fund draw downs may be withheld if these reports are delinquent.***

- **Required Submission:** BSIR (biannually).

3. Exercise Evaluation and Improvement

Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at <http://www.ojp.usdoj.gov/odp/docs/HSEEPv2.pdf>. 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 ODP support (grant funds or

direct support) and submitted to ODP within 60 days following completion of the exercise.

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

- **Required Submission:** AARs and IPs (as applicable).

4. Financial and Compliance Audit Report

For-profit organizations shall have financial and compliance audits conducted 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 Government Auditing Standards, 1994 Revision. The purpose of this audit is to ascertain the effectiveness of the financial management systems and internal procedures that have been established to meet the terms and conditions of the award. Usually, these audits shall be conducted annually, but not less frequently than every two years. The dollar threshold for audit reports established in OMB Circular A-133, as amended, applies.

For-profit 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 (GAO) *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133.235*, located at <http://www.whitehouse.gov/omb/circulars/index.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than 9 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 2005 IBSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the grant.

B. Monitoring

Grant recipients will be monitored periodically by ODP to ensure that the project goals, objectives, timelines, budgets and other related program criteria are being met.

Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, 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 provide reasonable assurance that the federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, the maintaining of adequate financial records, and the refunding of expenditures disallowed by audits.

C. Grant Close-out Process

Within 120 days after the end of the grant period, the grantee will submit a final FSR and a final BSIR detailing all accomplishments throughout the project. After both of these reports have been reviewed and approved by ODP, a Grant Adjustment Notice (GAN) will be completed to close-out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. After the financial information is received and approved by the OJP OC, the grant will be identified as "Closed by the Office of the Comptroller."

- **Required Submissions:** 1) Final SF-269 FSR; and, 2) Final BSIR.

APPENDIX A

AUTHORIZED PROGRAM EXPENDITURES

Authorized Program Expenditures

This appendix serves as a guide for program expenditure activities. Grantees are encouraged to contact their ODP Grants Officer regarding authorized and unauthorized expenditures. Funding may be used in the following categories:

1. Equipment Acquisitions
2. Training
3. Exercises
4. Management and Administrative

A. Allowable Equipment Acquisition Costs

This table highlights the allowable equipment categories. A comprehensive listing of allowable equipment categories and types is found on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) at <http://www.rkb.mipt.org>.

- Personal Protection Equipment (PPE);
- Explosive Device Mitigation and Remediation Equipment;
- CBRNE Operational Search and Rescue Equipment;
- Information Technology;
- Cyber Security Enhancement Equipment;
- Interoperable Communications Equipment;
- Detection Equipment;
- Decontamination Equipment;
- Medical Supplies and Limited Pharmaceuticals;
- Power Equipment;
- CBRNE Reference Materials;
- CBRNE Incident Response Vehicles;
- Terrorism Incident Prevention Equipment;
- Physical Security Enhancement Equipment;
- CBRNE Response Watercraft;
- CBRNE Logistical Support Equipment;
- Intervention Equipment; and,
- Other Authorized Equipment.

B. Allowable Training Costs

FY 2005 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 the Federal Acquisition Regulations (FAR) must be followed.
- **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 ODP-sponsored courses. These costs must be in accordance with state law as highlighted in the *OJP Financial Guide*. States 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 the *OJP Financial Guide*. For further information on federal law pertaining to travel costs please refer to <http://www.ojp.usdoj.gov/FinGuide>.
- **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 2005 IBSGP funding is not intended as a hiring program and funds may not be used to support hiring that would create new full-time employee positions.

C. Allowable Exercise Costs

FY 2005 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 CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.
- **Overtime and Backfill Costs** – Overtime and backfill costs associated with the design, development and conduct of CBRNE exercises are allowable expenses. Payment of overtime expenses will be for work performed by recipient or sub-recipient employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is an ODP sponsored exercise. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.
- **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 the *OJP Financial Guide*. States 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 the *OJP Financial Guide*. For further information on federal law pertaining to travel costs please refer to <http://www.ojp.usdoj.gov/FinGuide>.
- **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.

D. Allowable Management and Administrative (M&A) Costs

FY 2005 IBSGP funds may be used for the following M&A costs. (See *Section III* for specific programmatic guidance.

- **Hiring of full-time or part-time staff or contractors/consultants:**
 - To assist with the management of the FY 2005 IBSGP;
- **Hiring of full-time or part-time staff or contractors/consultants and expenses related to meet compliance with reporting/data collection requirements, including data calls.**

- **Development of operating plans for information collection and processing necessary to respond to DHS/ODP data calls** Travel expenses.
- **Meeting-related expenses** (For a complete list of allowable meeting-related expenses, please review the OJP OC Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>).
- **Acquisition of authorized office equipment**, including personal computers, laptop computers, printers and LCD projectors.

E. Unauthorized Program Expenditures

FY 2005 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, weapons systems and ammunition;
- Activities unrelated to the completion and implementation of projects approved under the IBSGP and,
- Other items not in accordance with the AEL or previously listed as allowable costs.

APPENDIX B

SAMPLE AWARD PACKAGE

Sample Award Package

TAB 1: SAMPLE REVIEW OF AWARD

Office of Justice Programs Post Award Instructions for ODP Awards

1. Review Award and Special Conditions Document.

Carefully read the award and any special conditions or other attachments. There is an original plus one copy of the award page.

If you agree with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19.

You should maintain a copy and return the original signed documents to:

Office of Justice Programs
Attn: Control Desk - ODP Award
810 Seventh Street, NW – 5th Floor
Washington, DC 20531

If you do not agree with the terms and conditions, contact the awarding ODP Grants Officer as noted in the award package.

2. Read Guidelines.

Become familiar with the “*OJP Financial Guide*” which is available through the internet at the OJP, Office of the Comptroller website:

<http://www.ojp.usdoj.gov/oc/>. New award recipients are automatically placed on a mailing list to receive future Guides and their change sets.

Up to 5 copies of the Guide may be ordered at no cost through:
<http://puborder.ncjrs.org>

You may also order the Guide by calling 1-800-851-3420. Select #2 for publications, select #1 to speak with a publications specialist.

TAB 2: SAMPLE POST AWARD INSTRUCTION

U. S. Department of Justice
Office of Justice Programs
Office of the Comptroller

Post Award Instructions

The OJP is currently responsible for the financial administration of grants awarded by the ODP.

The following is provided as a guide for the administration of awards from ODP. Forms and other documents illustrating each step are attached.

Step 1. Review Award and Special Conditions.

If you agree with the terms and conditions stated in the award, sign and date the award document and the last page of the Special Conditions, and return to OJP. Notify your ODP Grants Officer when Special Conditions have been met (refer to Step 1 attachment);

If you do not agree with the terms and conditions as written, contact your ODP Grants Officer.

Step 2. Read Guidelines.

Read and become familiar with the *OJP Financial Guide* and related material (refer to Step 2 attachment).

Step 3. Complete and Return ACH Form.

The Automated Clearing House (ACH) Vendor/Miscellaneous Payment Enrollment Form (refer to Step 3 attachment) is used to arrange direct deposit of funds into your designated bank account.

Step 4. Access to Payment Systems.

OJP uses two payment systems: Phone Activated Paperless System (PAPRS) and Letter of Credit Electronic Certification System (LOCES) (refer to Step 4 attachment). Current LOCES users will see the addition of new ODP grants on the LOCES grant number listing as soon as the ODP award acceptance has been received. PAPRS grantees will receive a letter with the award package containing their PIN to access the system and Grant ID information.

Step 5. Reporting Requirements.

Reporting requirements must be met during the life of the grant (refer to the *OJP Financial Guide* for a full explanation of these requirements, special conditions and any applicable exceptions). The payment systems contain edits which will prevent access to funds if reporting requirements are not met on a timely basis. Refer to Step 5 attachments for forms, due date information, and instructions.

Step 6. Questions about your ODP award?

A reference sheet is provided containing frequently asked financial questions and answers. If you have questions concerning this checklist or any financial aspect of your award, contact the Office of the Comptroller's Customer Service Center at **1-800-458-0786** or by email at askoc@ojp.usdoj.gov. Customer Service staff are available from 9:00 a.m. to 6:00 p.m. EST, Monday-Friday.

APPENDIX C

GUIDANCE FOR THE BSIR

Guidance for the Biannual Strategy Implementation Report (BSIR)

A. Biannual Strategy Implementation Report (BSIR) Web Application

ODP will provide a web application for submission of the BSIR. All reports must be completed and submitted to ODP electronically using the web application. All information submitted to ODP through these reports is considered to be dynamic. Each report submitted will be stored as a historical record of that submission. Updates will be made during subsequent submissions. It is therefore critical that each report submitted be comprehensive and include a thorough update of all information requested. All reports must be transmitted via the web in accordance with ODP-scheduled submission deadlines. The URL to the new web application is <https://www.reporting.odp.dhs.gov/>.

B. BSIR Report

The BSIR is a detailed report of the planned activities associated with ODP grant funding. The BSIR will demonstrate how the grant funds are used to administer the grant. This will be accomplished through the specific identification of a project to be accomplished with funds provided during the grant award period. All funds provided must be linked to one project. Grantees are reminded to keep a record of budget worksheets and must make them available for DHS review upon request.

This report must be completed for all funds.

C. Grant Reporting Timeline

Based on a 30 month period of performance, ODP expects most grants will have a reporting schedule similar to timeline below (see Figure 1). Most grants will have SEVENTEEN submissions over the course of the period of performance including, ***FIVE BSIR submissions, and one final BSIR submission.***

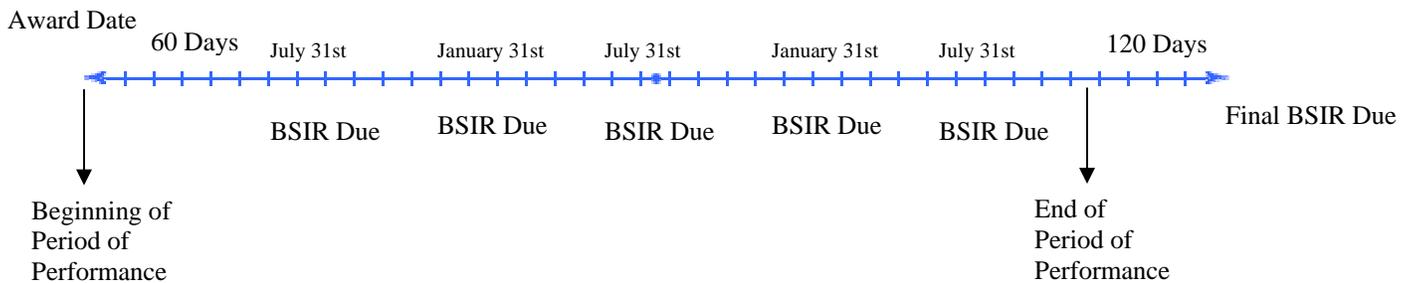


Figure 1. Grant Reporting Timeline

D. Reported Information

While the web application for the BSIR will be provided to grantees, it is important for applicants to fully understand the data points that must be collected. Each BSIR will include, but is not limited to, the following information for funds provided to each sub-grantee and funds retained at the state level:

1. Jurisdiction Name
2. Total Award Amount
3. Identify the amount of funding designated for each discipline from each grant program area:
 - Regional Transportation System
 - National Transportation System
4. Identify solution area(s) in which expenditures will be made and the amount that will be expended under each solution area:
 - Planning
 - Organization
 - Equipment
 - Training
 - Exercises
 - M&A
5. Metrics indicating project progress/success

Note: *the web application provided by ODP will include appropriate data fields for all information discussed above. Additionally, brief narrative descriptions may be required for certain data points, such as project titles, etc.*

APPENDIX D

APPROVAL PROCESS FOR NON-ODP DEVELOPED COURSES

Approval Process for Non-ODP Developed Courses

1. Request for review of non-ODP developed training courses should be made through the ODP using the Course Approval Request Form. This form is found in the Office of State and Local Government Coordination and Preparedness (SLGCP) Course Approval Process, Non-SLGCP Developed Courses, Appendix D, which is available on the ODP website at: <http://www.ojp.usdoj.gov/odp/training.htm>.
2. The ODP Transportation Infrastructure Security Division (TISD) will perform a preliminary review to ensure all training course materials are included and, if complete, will forward the request to the ODP Training Division. All course materials must be submitted with the original application, and conditional approvals are not offered.
3. Upon receipt of the request, the ODP Training Division will respond as follows (See Appendix C of the SLGCP Course Approval Process, Non-SLGCP Developed Courses):
 - Contents will be inventoried and logged into the SLGCP Training Approval Tracking System;
 - An in-depth cross-check for potential duplication of training courses will be conducted; and,
 - An initial review and comparison to SLGCP standards will be performed.
4. ODP will initiate an independent subject matter review of course materials based on the completed application.
5. The independent review for subject matter accuracy, statutory compliance, and instructional design will be completed within 15 working days from receipt of the course materials. For courses that require on-site review the period may be extended to 60 days.
6. Upon completion of the independent review and the Course Evaluation, Observations, and Findings form, the ODP Training Division will notify the ODP TISD and the Grantee of the outcome and provide either the letter of approval or disapproval. Notification of results will be completed within five (5) working days from receipt of the Course Evaluation, Observations, and Findings form.

Materials produced under ODP grant agreements may be copyrighted by the Grantee. However, ODP retains an unlimited, irrevocable, and non-transferable license to use such material for certain governmental purposes. ODP has determined that it is in the interest of the federal government to allow state and local entities to reproduce, for governmental use, materials produced under ODP grants. If you wish to reproduce such materials, please contact ODP with the specifics of your request.

APPENDIX E

GUIDANCE FOR DEVELOPMENT OF INTEROPERABLE COMMUNICATIONS PLANS

Guidance for Development of Interoperable Communications Plans

In May 2004, ODP adopted language about grant guidance developed by SAFECOM in an effort to ensure interoperability through the various layers of federal, state and local government. (See ODP Information Bulletin #113.) SAFECOM developed this general grant criteria in concert with representatives of the public safety community in an effort to coordinate the way in which funding is allocated and to maximize the prospects for interoperable communications. **Although this guidance was developed by SAFECOM for a separate grant program, ODP grantees are encouraged to follow the guidelines set forth in the document.**

The intent of the SAFECOM grant guidance is to ensure that the communications equipment being procured will lead to improved multi-disciplinary and/or multi-jurisdictional interoperable public safety communications. The grant guidance provides a list of questions to be answered in order to demonstrate how the applicant's proposed project would enhance interoperability. The guidance also encourages that—where appropriate—applicants purchase equipment that meets standards that have been developed and adopted by the public safety communications community—ANSI/TIA/EIAA-102 Phase 1 (project 25) suite of standards. This recommendation is intended for government-owned or -leased land mobile public safety radio equipment, and its purpose is to make sure that such equipment or systems are capable of interoperating with other public safety land mobile equipment or systems. It is not intended to apply to commercial services that offer other types of interoperability solutions and does not exclude any application if it demonstrates that the system or equipment being proposed will lead to enhanced interoperability. The grant guidance does not propose to preclude funding of non-Project 25 equipment when there are compelling reasons for using other solutions. Absent these compelling reasons, ODP intends that Project 25 equipment will be preferred for digital systems to which the standard applies.

The SAFECOM interoperable communications guidance addresses the following issues:

- Criteria
 - Who Should Be Involved with Public Safety Communications Interoperability;
 - Lifecycle of Public Safety Communications Projects;
 - Common Public Safety Communications Goals;
 - Common Criteria for All Grant Applicants;
 - Standards; and,
 - Governance.

- Criteria for Public Safety Communications Equipment Grants
 - Building, Upgrading, Enhancing, Replacing and Maintaining Public Safety Communications Systems and Equipment

- Supplemental Criteria for Public Safety Equipment Grants
 - Planning for public safety communication systems;
 - Training public safety staff on issues related to emergency response communications;
 - Managing public safety communications projects; and,
 - Generic Examples of Linking Disparate Public Safety Communications Systems.

The SAFECOM grant guidance materials are available in their entirety on the SAFECOM website (<http://www.safecomprogram.gov>) in the electronic library. (See <http://www.safecomprogram.gov/libresults.cfm?libid=431&secid=3>.) They can also be accessed through ODP Information Bulletin #113, posted on the ODP website at <http://www.ojp.usdoj.gov/odp/docs/bulletins.htm>.

APPENDIX F

SAMPLE BUDGET DETAIL WORKSHEET

Sample Budget Detail Worksheet

OMB Approval No. 1121-0188
Expires 5-98 (Rev. 12/97)

Purpose: The Budget Detail Worksheet may be used as a guide to assist you 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>
----------------------	--------------------	-------------

TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

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

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>
-------------	--------------------	-------------

TOTAL _____

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

<u>Supply Items</u>	<u>Computation</u>	<u>Cost</u>
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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. Consultant fees in excess of \$450 per day require additional justification and prior approval from ODP.

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

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>
-------------	-----------------	--------------------	-------------

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>
-------------	-------------

Subtotal _____

TOTAL _____

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

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

TOTAL _____

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

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

TOTAL _____

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

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

Federal Request _____

Non-Federal Amount _____

APPENDIX G

ACRONYMS AND ABBREVIATIONS

Acronyms and Abbreviations

A

AAR	After Action Reports
AEL	Authorized Equipment List
ANSI	American National Standards Institute

B

BSIR	Biannual Strategy Implementation Reports
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C

CAP	Corrective Action Plan
CAPR	Categorical Assistance Progress Reports
CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosive
CFDA	Catalog of Federal Domestic Assistance
CSID	Centralized Scheduling and Information Desk

D

D&B	Dun and Bradstreet
DHS	U.S. Department of Homeland Security
DPETAP	Domestic Preparedness Equipment Technical Assistance Program
DUNS	Data Universal Numbering System

E

EA	Environmental Assessment
EIS	Environmental Impact Assessment

F

FAR	Federal Acquisition Regulations
FEMA	Federal Emergency Management Agency
FOIA	Freedom of Information Act
FSR	Financial Status Report
FTA	Federal Transit Administration
FTE	Full-Time Employees

G

GAN	Grant Adjustment Notice
GMS	Grants Management System
GPS	Global Positioning Systems

H

HSEEP	Homeland Security Exercise and Evaluation Program
HSGP	Homeland Security Grant Program
HSPD	Homeland Security Presidential Directive

I

IBSGP	Intercity Bus Security Grant Program
ICS	Incident Command System

L	IED	Improvised Explosive Device
	IP	Improvement Plan
M	LEP	Limited English Proficient
	LLIS	Lessons Learned Information Sharing
	LOCES	Letter of Credit Electronic Certification System
N	M&A	Management and Administrative
	MOU	Memorandum of Understanding
O	NEPA	National Environmental Policy Act
	NIMS	National Incident Management System
	NRP	National Review Panel
P	OC	Office of the Comptroller
	ODP	Office for Domestic Preparedness
	OJP	Office of Justice Programs
	OMB	Office of Management and Budget
S	PAPRS	Phone Activated Paperless Request System
	POC	Point of Contact
	PPE	Personal Protective Equipment
T	SLGCP	DHS Office of State and Local Government Coordination and Preparedness
	TCL	Target Capabilities List
U	UASI	Urban Area Security Initiative
	UTL	Universal Task List