

**The U.S. Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Fiscal Year (FY) 2018 Intercity Passenger Rail (IPR) - Amtrak**

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

A. Program Description

Issued By

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

Catalogue of Federal Domestic Assistance (CFDA) Number

97.075

CFDA Title

Rail and Transit Security Grant Program

Notice of Funding Opportunity Title

Intercity Passenger Rail (IPR) - Amtrak

NOFO Number

DHS-18-GPD-075-00-01

Authorizing Authority for Program

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

Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2018 (Pub. L. No. 115-141)

Program Type

New

Program Overview, Objectives and Priorities

Overview

The FY 2018 Intercity Passenger Rail (IPR) - Amtrak is set against the backdrop of a year in which the United States faced numerous and unprecedented homeland security challenges. These included the three major hurricanes that devastated parts of Texas, Florida, and much of Puerto Rico and the U.S. Virgin Islands, as well as massive wildfires across the State of California. In addition to these natural disasters, the Nation also responded to multiple incidents as part of the evolving threat landscape, including witnessing the first known terrorist attack executed against mass transportation on our soil; cyberattacks against critical port infrastructure; and mass casualty events involving both vehicles and active shooters.

The National Preparedness Goal (the Goal) defines what it means to be prepared for such diverse and complicated events. The National Preparedness System is the instrument the Nation employs to build, sustain, and deliver the core capabilities needed to achieve the goal of a more secure and resilient Nation. The development and sustainment of these core capabilities is not exclusive to any single level of government or organization, but rather requires the combined effort of the whole community. To that end, the FY 2018 IPR represents one part of a comprehensive set of measures authorized by Congress and implemented by the Administration. Among the five basic homeland security missions noted in the DHS Quadrennial Homeland Security Review, the IPR supports the goal to Strengthen National Preparedness and Resilience.

The recently released [2018-2022 FEMA Strategic Plan](#) creates a shared vision for the field of emergency management and sets an ambitious, yet achievable, path forward to unify and further professionalize emergency management across the country. The Intercity Passenger Rail Grant Program supports the goal of *Readying the Nation for Catastrophic Disasters*. We invite all of our stakeholders and partners to also adopt these priorities and join us in building a stronger Agency and a more prepared and resilient Nation.

Objectives

FY 2018 IPR directly supports transportation infrastructure security activities for the Amtrak System and is one tool in the comprehensive set of measures authorized by Congress and implemented by the Administration to strengthen the Nation's critical infrastructure against risks associated with potential terrorist attacks.

Performance metrics for this program are as follows:

Percent Change in the relative risk score for the top fifty (50) most critical assets.

Priorities

FY 2018 IPR priorities include building and sustaining core capabilities through:

- Strengthening governance integration
- Protection of high-risk, high-consequence underwater and underground rail assets
- Planning (Operational, Continuity of Operations, Evacuation, Recovery)
- Use of visible, unpredictable deterrence
- Targeted counter-terrorism training for key front-line staff
- Emergency preparedness drills and exercises

The FY 2018 IPR program plays an important role in the implementation of the NPS by supporting the building, sustainment, and delivery of core capabilities essential to achieving the Goal. The FY 2018 IPR program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs. Examples of tangible outcomes from IPR include building and sustaining emergency management capabilities through operational activities, operational packages (OPacks), Top Transit Asset List (TTAL) remediation; protection of high-risk, high-consequence underwater and underground rail assets; planning; use of visible, unpredictable deterrence; emergency preparedness drills and exercises; public awareness and preparedness campaigns; and protection of other high-risk, high-consequence areas and systems that have been identified through system wide risk assessments.

For additional information on program priorities and objectives for FY 2018 IPR, refer to [Appendix A – Program Priorities](#).

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the FY 2018 IPR: **\$10,000,000**

Period of Performance: **Thirty-six (36) Months**

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

DHS/FEMA anticipates the overall period of performance for awards issued under this NOFO will be up to 84 months, encompassing five (5) program years. DHS/FEMA anticipates that it will fund a program year every twelve (12) months, and that the period of performance for the funds provided in each program year will be three (3) years. The funds provided under this announcement will be for the first program year, which will have a three-year period of performance. Annual funding for program years two through five is not currently available, and will only be provided subject to the availability of funds. Should funding become available for additional program years, applicants will be required to submit an application and proposed budget for approval by DHS/FEMA before any additional funds are awarded.

Projected Period of Performance Start Date(s): **September 1, 2018**

Projected Period of Performance End Date(s): **August 31, 2021**

Funding Instrument: **Cooperative Agreement**

Program authority and responsibility under this Cooperative Agreement reside with DHS/FEMA. DHS/FEMA retains the right to terminate all or part of the Cooperative Agreement as permitted by 2 C.F.R. § 200.339 and may conduct site visits and monitoring throughout the period of performance.

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

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

Effective management of the IPR program entails a collaborative effort and partnership within DHS/FEMA. For the FY 2018 IPR program, DHS/FEMA is responsible for designing and operating the required administrative mechanisms to implement and manage the grant program. The Transportation Security Administration (TSA) provides programmatic subject matter expertise for the transportation industry. TSA assists by coordinating the intelligence information and risk/vulnerability assessments resulting in ranking and rating rail and mass transit assets nationwide against threats associated with potential terrorist attacks and in defining the parameters for identifying, protecting, deterring, responding, and recovering from such incidents. Together, these two agencies, with additional assistance and cooperation of the Federal Railroad Administration (FRA), determine the primary security architecture of the IPR program.

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

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

C. Eligibility Information

Eligible Applicants

The National Railroad Passenger Corporation (Amtrak) is the only entity eligible to apply for funding under the FY 2018 Intercity Passenger Rail Program.

Eligibility Criteria

National Incident Management System (NIMS) Implementation

Prior to allocation of any federal preparedness awards in FY 2018, recipients must ensure and maintain adoption and implementation of NIMS. DHS/FEMA describes the specific

activities involved in NIMS implementation in the NIMS Implementation Objectives (<https://www.fema.gov/implementation-guidance-and-reporting>).

Incident management\activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications at <http://www.fema.gov/resource-management-mutual-aid>.

Although state, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, DHS/FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information is available from the <http://www.fema.gov/nims-doctrine-supporting-guides-tools>.

Cost—Share or Match

There is no cost share or cost match requirement for the FY 2018 IPR program.

D. Application and Submission Information

Key Dates and Times

Date Posted to Grants.gov:	May 21, 2018
Application Submission Deadline:	June 20, 2018, 5:00PM ET

All applications **must** be received by the established deadline. The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of the full application. **DHS/FEMA will not review applications that are received after the deadline or consider them for funding.** DHS/FEMA may, however, extend the application deadline by request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant’s control that prevent submission of the application by the deadline, or other exigent or emergency circumstances. Technical issues should be addressed to the FEMA Headquarters (HQ) Program Analyst as soon as possible before the application deadline. Applicants should contact the Centralized Scheduling and Information Desk (CSID) for HQ Program Analyst contact information. CSID can be reached by phone at (800) 368-6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET.

Anticipated Funding Selection Date:	August 27, 2018
Anticipated Award Date:	No later than September 30, 2018

Address to Request Application Package

Application forms and instructions are available on [Grants.gov](https://www.grants.gov) (hardcopies of the NOFO and associated application materials are not available.) To access the application package, select “Applicants” then “Apply for Grants” followed by “Get Application Package.” Enter the Funding Opportunity Number located on the first page of this NOFO. Select “Apply” and then “Create Workspace.” Follow the prompts to download the instructions and begin the application.

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

Initial applications will be processed through the [Grants.gov](https://www.grants.gov) portal. Final applications are completed and submitted through FEMA’s Non-Disaster Grants ([ND Grants](https://www.ndgrants.gov)) System.

Content and Form of Application Submission

Applying for an award under this program is a multi-step process. To ensure that an application is submitted on time, applicants are advised to start the required steps well in advance of their submission. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

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

1. Applying for, updating, or verifying their Data Universal Numbering System (DUNS) Number and Employer ID Number (EIN);
2. Updating or verifying their System for Award Management (SAM) Registration;
3. Establishing an Authorized Organizational Representative (AOR) in [Grants.gov](https://www.grants.gov);
4. Submitting an initial application in [Grants.gov](https://www.grants.gov); and
5. Submitting the final application in the [ND Grants](https://www.ndgrants.gov) system.

Unique Entity Identifier and System for Award Management (SAM)

All applicants for this award must:

1. Be registered in SAM before submitting its application;
2. Provide a valid DUNS number in its application; and
3. Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by DHS/FEMA.

DHS/FEMA may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time DHS/FEMA is ready to make a federal award. DHS/FEMA may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Electronic Delivery

DHS/FEMA is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS/FEMA requires applicants to submit their applications online through [Grants.gov](https://www.grants.gov) and [ND Grants](https://www.ndgrants.gov).

How to Register to Apply through [Grants.gov](https://www.grants.gov)

1. *Overview:* Read the instructions below about registering to apply for DHS/FEMA funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

Organizations must have a DUNS Number, active SAM registration, and Grants.gov account to apply for grants.

If individual applicants are eligible to apply for this grant funding opportunity, refer to:

<https://www.grants.gov/web/grants/applicants/registration.html>

Organization applicants can find complete instructions here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>

2. *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a DUNS number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

3. *Register with SAM:* In addition to having a DUNS number, all organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

4. *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process.

For more information, follow the on-screen instructions or refer to:

<https://www.grants.gov/web/grants/applicants/registration.html>

5. *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If

you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile.

For more detailed instructions about creating a profile on Grants.gov, refer to:
<https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

6. *EBiz POC Authorized Profile Roles:* After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role.

For more detailed instructions about creating a profile on Grants.gov, refer to:
<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

7. *Track Role Status:* To track your role request, refer to:
<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>
8. *Electronic Signature:* When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed and it is crucial for valid and timely submissions.**

How to Submit an Initial Application to DHS/FEMA via Grants.gov

Grants.gov applicants apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each Notice of Funding Opportunity (NOFO), you can create individual instances of a Workspace. **Applicants are encouraged to submit their initial application in [Grants.gov](https://www.grants.gov) at least seven days before the June 20, 2018, application deadline.**

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

1. *Create a Workspace:* Creating a Workspace allows you to complete it online and route it through your organization for review before submitting.
2. *Complete a Workspace:* Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission.

3. *Adobe Reader:* If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or DHS/FEMA forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on [Grants.gov](https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html) to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

4. *Mandatory Fields in Forms:* In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
5. *Complete SF-424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.
6. *Submit a Workspace:* An application may be submitted through workspace by clicking the “Sign and Submit” button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least seven days prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
7. *Track a Workspace:* After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to:
<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the [Grants.gov](#) Support Center and get a ticket number. The Support Center ticket number will assist the DHS/FEMA with tracking your issue and understanding background information on the issue.

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

After submitting the initial application in [Grants.gov](#), eligible applicants will be notified by DHS/FEMA and asked to proceed with submitting their complete application package in [ND](#)

[Grants](#). Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement or at the latest, seven days before the application deadline. Early registration will allow applicants to have adequate time to start and complete their application.

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

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

In addition, applicants must submit copies of the following in [ND Grants](#):

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

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

Timely Receipt Requirements and Proof of Timely Submission

All applications must be received in [ND Grants](#) by **5:00 PM Eastern Time** on June 20, 2018. Proof of timely submission is automatically recorded by [ND Grants](#). An electronic date/time stamp is generated within the system when the application is successfully received by [ND Grants](#). The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXXXX) from [Grants.gov](#) with the successful transmission of their initial application. This applicant with the AOR role will also receive the official date/time stamp and [Grants.gov](#) Tracking number in an email serving as proof of their timely submission.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before [Grants.gov](#) and [ND Grants](#) receive your application. Again, [Grants.gov](#) will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The [Grants.gov](#) Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the systems time to process the application.

Applicants needing assistance with the [ND Grants](#) system should contact ndgrants@fema.gov or (800) 865-4076.

Funding Restrictions

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

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, DHS/FEMA is required to consider the effects of its actions on the environment and historic properties to ensure that all activities and programs funded by the agency, including grants funded projects, comply with federal EHP regulations, laws and Executive Orders as applicable. Recipients and subrecipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, DHS/FEMA also is required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed and approved before funds are released to carry out the proposed project; otherwise, DHS/FEMA may not be able to fund the project due to non-compliance with EHP laws, executive orders, regulations, and policies.

Additionally, all recipients are required to comply with DHS/FEMA EHP Policy Guidance, FEMA Policy #108-023-1. The EHP screening form is located [here](#) and further EHP guidance can be found at <https://www.fema.gov/media-library/assets/documents/85376>.

Emergency Communications and Resilience

IPR funding used to support emergency communications investments are required to comply with the [SAFECOM Guidance on Emergency Communications Grants \(SAFECOM Guidance\)](#). The SAFECOM Guidance provides current information on emergency communications policies, eligible costs, best practices, and technical standards for State, local, tribal, and territorial grantees investing Federal funds in emergency communications projects. It is also designed to promote and align with the [National Emergency Communications Plan \(NECP\)](#). Conformance with the SAFECOM Guidance helps ensure that Federally-funded investments are compatible, interoperable, resilient, and support national goals and objectives for improving emergency communications.

FirstNet

The *Middle Class Tax Relief and Job Creation Act of 2012*, Pub. L. No. 112-96, as amended (codified in part at 47 U.S.C. §§ 1401-1473) established the First Responder Network Authority (hereinafter FirstNet Authority) as an independent authority within the National

Telecommunications and Information Administration (“NTIA”).¹ The FirstNet Authority’s statutory mission is to establish a nationwide public safety broadband network (FirstNet).² FirstNet uses the 700 MHz D block spectrum to provide Long-Term Evolution (LTE)-based broadband services and applications to public safety entities.³ FirstNet became operational in March 2018 and is based on a single, national network architecture that will evolve with technological advances and initially consists of a core network and radio access network (RAN).

FirstNet will provide public safety entities with mission critical broadband data capabilities and services including, but not limited to messaging, image sharing, video streaming, group text, voice, data storage, application, location-based services, and Quality of Service, and Priority and Preemption. Public safety entities seeking to enhance their operational capabilities using broadband technology may seek grant funding to support the following:

- **Planning for integration** of Information Technology (IT) infrastructure, software, and site upgrades necessary to connect to FirstNet.
- **Handheld broadband devices** including smartphones, feature phones, tablets, wearables, push-to-talk (PTT) devices.
- **Vehicle-mounted or otherwise field operated data devices** such as ruggedized laptops.
- **Network access devices** including portable Wi-Fi devices, Universal Serial Bus (USB) modems/dongles, trunk-mounted modems, routers.
- **Customer Owned and Managed (COAM) broadband deployable equipment**, enabling public safety to own and dispatch coverage expansion or capacity enhancement equipment within their jurisdiction.
- **Broadband device accessories** that enable efficient and safe public safety operations such as headsets, belt clips, ear pieces, remote Bluetooth sensors, ruggedized cases. **Subscriber Identification Modules (SIMs)/Universal Integrated Circuit Cards (UICCs)** to allow public safety users to update existing devices to operate on public safety prioritized services.
- **One-time purchase and Subscription-based applications** for public safety use which could include, among a number of other options, enterprise mobility management (EMM), mobile device management (MDM), mobile Virtual Private Network (VPN), identify services, or cloud service tools.

As FirstNet is built out in all 56 states and territories and coverage and capacity for first responders expands, recipients are strongly encouraged to coordinate with the Statewide Interoperability Coordinator (SWIC) and FirstNet on (1) the planning, deployment timelines, and operational availability of the network deployment within a specific state or territory; (2) to ensure the project does not conflict with network planning efforts; and (3) that the project complies with all technical requirements. FirstNet requires participating agencies to demonstrate

¹ 47 U.S.C. § 1424(a).

² 47 U.S.C. § 1426(b).

³ 47 U.S.C. §§ 1401(2), 1421(a).

a subscription to public safety-prioritized broadband services to purchase FirstNet broadband devices or applications. **Information Bulletin #386 is hereby rescinded as the technical requirements and nationwide network architecture has been developed, and FirstNet is operational.** Recipients, however, must coordinate with FirstNet in advance of any strategic acquisition of broadband LTE equipment to ensure that purchases adhere to all applicable standards for public safety entities. Recipients with questions on FirstNet should contact info@firstnet.gov. Please refer to the [FY 2018 SAFECOM Guidance on Emergency Communications](#) for additional guidance.

Pre-award Costs

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

Cost Principles

Costs charged to this award must be consistent with the Cost Principles in the Federal Acquisition Regulation Part 31.2 in lieu of 2 CFR 200, Subpart E. Any conflicts between FAR 31.2 and CFR 200, Subpart E shall be resolved in favor of the applicable provision in FAR 31.2.

Direct Costs

Planning

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

Organization

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

Equipment

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

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. § 200.313, located at http://www.ecfr.gov/cgi-bin/text-idx?SID=c836a011886f180dac489e15c059b1aa&node=sg2.1.200_1309.sg2&rgn=div7.

Training

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

Exercises

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

Operational Packages (OPacks)

OPack costs are allowed under this program as described in this NOFO. The recipient may elect to pursue OPack funding, such as Canine Teams, Mobile Explosive Screening Teams,

and Anti-Terrorism Teams, for new capabilities as well as to sustain existing OPacks. In addition, the recipient must commit to minimum training standards to be set by DHS for all IPR funded security positions.

Travel

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

Construction and Renovation

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

The recipient must submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. The recipient is also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which the recipient believes an Environmental Assessment (EA) may be needed, as defined in [DHS Instruction Manual 023-01-001-01, Revision 01](#), and [FEMA Directive 108-1 and FEMA Instruction 108-1-1](#), must also be identified to the FEMA HQ Program Analyst within six months of the award and completed EHP review materials must be submitted no later than 12 months before the end of the period of performance. EHP review packets should be sent to gpdehpinfo@fema.gov.

If the recipient uses funds for construction projects, it must comply with the *Davis-Bacon Act* (40 U.S.C. § 3141 et seq.) as required by 6 U.S.C. § 1163(h). The recipient must ensure that contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available at <https://www.dol.gov/whd/govcontracts/dbra.htm>.

Operational Overtime

Operational Overtime costs are allowed under this program as described in this NOFO. For additional information on overtime for the FY 2018 IPR program, refer to [Appendix B – Funding Guidelines](#).

Maintenance and Sustainment

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

For additional information on allowable costs and funding restrictions, refer to [Appendix B – Funding Guidelines](#).

Management and Administration (M&A) Costs

Management and administration costs are allowed. Recipients may use up to five percent (5%) of the amount of the award for M&A. M&A activities are those defined as directly relating to the management and administration of IPR funds, such as financial management and monitoring. M&A expenses must be based on actual expenses or known contractual costs; requests that are simple percentages of the award, without supporting justification, will not be allowed or considered for reimbursement.

M&A costs are not operational costs, they are the necessary costs incurred in direct support of the grant or as a consequence of the grant and should be allocated across the entire lifecycle of the grant. Examples include preparing and submitting required programmatic and financial reports, establishing and/or maintaining equipment inventory, documenting operational and equipment expenditures for financial accounting purposes; and responding to official informational requests from state and federal oversight authorities.

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

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

IPR Specific Application Instructions

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

Investment Justification (IJ)

As part of the FY 2018 IPR application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including a project's M&A costs. Applicants may submit up to 15 IJs. The IJ must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities and link to one or more core capabilities identified in the National Preparedness Goal. Applicants are encouraged to submit a separate IJ for each proposed project. IPR projects must be: 1) feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the 3-year period of performance. Applicants must ensure that the IJs are consistent with all applicable requirements outlined in this application kit.

IJs must be submitted with the grant application as a file attachment within [ND Grants](#). Applicants must use the following file naming convention when submitting IJ attachments through [ND Grants](#) as part of the FY 2018 IPR program:

Name of Applicant_IJ Number (Example: Amtrak_IJ 1)

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

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

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

Detailed Budget

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

Applicants must use the following file naming convention when submitting detailed budgets through [ND Grants](#) as part of the FY 2018 IPR program:

Agency_IJ Number_Budget (Example: Amtrak_IJ 1_Budget)

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

Sensitive Security Information (SSI) Requirements

A portion of the information routinely submitted in the course of applying for funding or reporting under certain programs or provided in the course of an entity's grant management activities under those programs which are under federal control may be subject to protection under an SSI marking, and must be properly identified and marked. SSI is a control designation used by DHS/FEMA to protect transportation security related information. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. Further information can be found at 49 C.F.R. § 1520.7.

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

E. Application Review Information

Application Evaluation Criteria

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

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

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

- 1. Funding priorities.** Projects will be evaluated and prioritized based on the extent to which they address the specific funding priorities contained in this NOFO (see [Appendix A: FY 2018 IPR Program Priorities](#)).
- 2. Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risk associated with potential terrorist attacks and all other types of hazards.
- 3. Sustainability without additional federal funds and leveraging of other funding.** Projects will be evaluated and prioritized regarding the extent to which they exhibit a likelihood of success, or continued success, without requiring additional federal assistance.
- 4. Timeline.** Projects will be evaluated and prioritized on the ability of the Amtrak to complete the proposed project within submitted timeframes.

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

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

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

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

Review and Selection Process

Amtrak is the only eligible entity for the FY 2018 IPR program.

Supplemental Financial Integrity Review

Prior to making a Federal award where the Federal share is expected to exceed the simplified acquisition threshold, currently \$150,000, DHS/FEMA is required to review and consider any information about the applicant in the Federal Awardee Performance and Integrity Information System (FAPIIS), which is also accessible through the SAM website.

- An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a Federal awarding agency previously entered.
- DHS/FEMA will consider any comments by the applicant, in addition to the FAPIIS information, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants, as described in 2 CFR §200.205.

F. Federal Award Administration Information

Notice of Award

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

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

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

Administrative and National Policy Requirements

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

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

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

Reporting

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

Federal Financial Reporting Requirements

Federal Financial Report (FFR)

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

The Federal Financial Reporting Form (FFR) (SF-425) is available online at: <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortBy=1>, SF-425 OMB #4040-0014.

Financial Reporting Periods and Due Dates

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

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

Financial and Compliance Audit Report

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

Program Performance Reporting Requirements

Performance Progress Reports (PPR)

Recipients are responsible for providing updated performance reports to DHS/FEMA on a biannual basis. The Performance Progress Report (PPR) should include the following:

- Status Summary: the summary should
 - Provide a brief narrative of the overall status of projects
 - Identify accomplishments and milestones achieved as they relate to the approved projects and

- Describe any potential issues that may affect project completion.
- Best Practices / Lessons Learned Summary: the summary should describe any best practices or lessons learned identified to date through the program. The purpose of this information is to develop and enhance guidance materials, tools, templates, and lessons learned and best practices summaries.
- Issues List: the list should identify any program-related challenges that may require assistance or impact successful and on time completion of the funded project.

Program Performance Reporting Periods and Due Dates

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

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

Monitoring

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

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

Closeout Reporting Requirements

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

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, the recipient must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as the following documentation:

- 1) Final request for payment, if applicable;
- 2) SF-425 – Final Federal Financial Report;
- 3) Final Performance Progress Report detailing project accomplishments throughout the period of performance with ties back to the original gaps laid out in the investment justification(s);

- 4) A qualitative narrative summary on the impact of the grant accomplishments throughout the entire period of performance submitted to the respective FEMA HQ Program Analyst in a Word document; and
- 5) Other documents required by program guidance or terms and conditions of the award.

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

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

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

Disclosing Information Per 2 C.F.R. § 180.335

This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a recipient enters into a grant award with FEMA, the recipient must notify FEMA if it knows if any of the recipient's principals under the award fall under one or more of the four criteria listed at 2 C.F.R. § 180.335. At any time after accepting the award, if the recipient learns that any of its principals falls under one or more of the criteria listed at 2 C.F.R. § 180.335, the recipient must provide immediate written notice to FEMA in accordance with 2 C.F.R. § 180.350.

G. DHS Awarding Agency Contact Information

Contact and Resource Information

Centralized Scheduling and Information Desk (CSID)

The Centralized Scheduling Information Desk (CSID) is a non-emergency comprehensive management and information resource developed by DHS/FEMA for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. When necessary, recipients will be directed to a federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800)368-6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET.

GPD Grant Operations Division

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

DHS/FEMA Regional Offices

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

GPD Environmental Planning and Historic Preservation (GPD EHP)

The DHS/FEMA GPD EHP Team provides guidance and information about the EHP review process to recipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, the EHP Screening Form, can be found online at <https://www.fema.gov/media-library/assets/documents/90195>.

Systems Information

Grants.gov

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

Non-Disaster (ND) Grants

For technical assistance with the ND Grants system, please contact the ND Grants Helpdesk at ndgrants@fema.gov or (800)865-4076, Monday through Friday, 9:00 a.m. – 6:00 p.m. ET.

Payment and Reporting System

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

H. Additional Information

Active Shooter Preparedness

DHS aims to enhance national preparedness through a whole community approach by providing the necessary products, tools, and resources to help all stakeholders prepare for and respond to an active shooter incident. To that end, DHS has developed a comprehensive "Active Shooter Preparedness" website, which includes a variety of informational resources. The website address is: <https://www.dhs.gov/active-shooter-preparedness>.

In addition, within the Homeland Security Information Network (HSIN), the Joint DHS and FBI Countering Violent Extremism (CVE) and Active Shooter Web Portal provides a restricted-access forum to share Unclassified For Official Use Only (FOUO), Sensitive but Unclassified (SBU), and Law Enforcement Sensitive (LES) Information. The portal provides users and

training practitioners with accurate, appropriate, and relevant CVE and Active Shooter training development resources, subject matter expert information, and outreach initiatives. It also has forums to provide feedback, products useful to others, and allows participants to ask questions concerning CVE or the Active Shooter Program. Persons with a job-related duty, public service interest, or who support a CVE and/or Active Shooter program can request access into this Portal. Additional information can be found on the DHS website at: <https://www.dhs.gov/cveas-portal#>.

The applicant is encouraged to review the referenced active shooter guidance, evaluate their preparedness needs, and consider applying for IPR funding to address any capability gaps identified in this area.

Soft Targets and Crowded Places

There are continued and growing threats facing Soft Targets and Crowded Places (ST-CP) throughout the nation. ST-CPs are those locations or environments that are easily accessible to large numbers of people on a predictable or semi-predictable basis that have limited security or protective measures in place. These locations are vulnerable to attack using simple tactics and readily accessible weapons such as small arms, edged weapons, and vehicles as a weapon, improvised explosive devices, and unmanned aerial systems. ST-CPs can include places such as town centers, shopping malls, open-air venues, outside hard targets/venues perimeters, and other places of meeting and gathering. DHS is committed to reducing the risk of attacks against ST-CPs and the impact of attacks if they do occur. However, the protection and security of ST-CPs is a shared responsibility among whole community partners including: the public, ST-CP owners and operators, security industry partners, the Federal Government, and State, local, tribal, and territorial (SLTT) government partners. States, territories, urban areas, and public and private sector partners are encouraged to identify security gaps and build capabilities that address security needs of ST-CP, understanding the unique challenges related to protecting locations that are open to the public. States, territories, urban areas, and public and private sector partners are also encouraged to use resources to instill a culture of awareness, vigilance, and preparedness. For more information and additional resources please see the Department of Homeland Security's (DHS's) [Hometown Security Program](#).

Conflict of Interest

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

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

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

Extensions

Period of Performance Extensions

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

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

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

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

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

Appendix A – FY 2018 IPR Program Priorities

Alignment of IPR to the National Preparedness System

The FY 2018 IPR program plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. The IPR program supports efforts to build and sustain core capabilities across the five mission areas described in the Goal.

Closing Capability Gaps

The recipient must ensure that grant funds have a clear linkage to one or more identified capability gaps for the core capabilities in the Goal and provide associated measures of effectiveness.

Using the core capabilities, the FY 2018 IPR supports the achievement of the Goal by:

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

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

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

Strengthening Governance Integration

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

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

- *Coordination of Investments* – resources must be allocated to address the most critical capability needs.
- *Transparency* – stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.

- *Substantive Local Involvement* – the tools and processes that are used to inform the critical priorities, which DHS/FEMA grants support must include local government representatives. At the state and regional levels, local risk assessments must be included in the overarching analysis to ensure that the threats and hazards of most concern to the jurisdiction are accounted for.
- *Accountability* – FEMA recognizes that unique preparedness gaps exist at the local level. However, grant recipients are responsible for ensuring the effective use of grant funds to address those gaps and for maintaining and sustaining existing capabilities.
- *Support of Regional Coordination* – Inter/intra-state partnerships and dependencies at the state and regional level, including those within metropolitan areas, must be recognized and invited to participate in grant planning and coordination activities.

Validating Capabilities

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

Recipients shall submit their AAR/IPs to the HSEEP inbox (HSEEP@fema.dhs.gov) and indicate the applicable IPR grant year which the submission is intended to fulfill. If the recipient submits a single AAR/IP to cover an IPR progressive exercise series, the recipient must then specify the applicable IPR grant year and the dates of the exercises in their submission to the HSEEP inbox (HSEEP@fema.dhs.gov). Submission of the AAR/IP shall be no later than 90 after completion of the single exercise or progressive series

In accordance with HSEEP guidance, grant recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. This link provides access to a sample AAR/IP template: <https://preptoolkit.fema.gov/web/hseep-resources/improvement-planning>. Recipients are encouraged to enter their exercise data and AAR/IP in the Preparedness Toolkit at <https://preptoolkit.fema.gov/web/hseep-resources/home>. DHS/FEMA will release additional guidance on Preparedness Toolkit, including how enter exercise data and develop and enter an AAR/IP, later in 2018.

The Department has identified the following priority project types for the FY 2018 IPR Program:

Protection of high-risk, high-consequence underwater and underground rail assets

Many of the Nation’s largest transit systems have significant track miles and support large concentrations of riders in rail systems that run underground and underwater. The highest priority of the FY 2018 IPR program is to support measures that protect assets on the Top Transit Asset List (TTAL), including underground rail system assets — particularly underwater assets — from terrorist attacks by improvised explosive devices or other threats

that can damage or significantly breach such assets. Active coordination and regular testing of emergency evacuation plans can greatly reduce loss of life in serious incidents.

Use of visible, unpredictable deterrence

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

Planning

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

Targeted counter-terrorism training for key front line staff

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

Emergency preparedness drills and exercises

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

Public awareness and preparedness campaigns

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

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

The recipient should focus countermeasure resources on the highest risk, highest consequence areas or systems. The IPR program will support the development and enhancement of capabilities to prevent, protect against, and respond to terrorist attacks employing CBRNE weapons, IEDs and malicious cyber activity. For example, a system wide assessment may highlight the need to segregate critical security infrastructure from public access. One solution is an integrated intrusion detection system, which controls access to these critical facilities or equipment. The recipient should consider security technologies to reduce the burden on security manpower. Using smart closed-circuit television (CCTV) systems in remote locations, for example, could free up security patrols to focus on higher-risk areas.

Other

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

The permitted uses of FY 2018 IPR program funds include the following activities:

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

- Railroad security inspection technologies, including verified visual inspection technologies using hand-held readers
- Surveillance equipment
- Cargo or passenger screening equipment
- Emergency response equipment, including fire suppression and decontamination equipment, personal protective equipment, and defibrillators
- Operating and capital costs associated with security awareness, preparedness, and response training, including training under the Railroad Security Training Program authorized by Section 1517 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1167), and training developed by universities, institutions of higher education, and nonprofit employee labor organizations, for railroad employees, including frontline employees
- Live or simulated exercises, including Railroad Carrier Exercises described in Section 1516 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1166).
- Public awareness campaigns for enhanced railroad security, such as the “See Something, Say Something”™ campaign
- Development of Railroad Carrier Assessments and Plans under Section 1512 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007* (6 U.S.C. § 1162).
- Other security improvements that: (a) are identified, required, or recommended under Sections 1511 and 1512 of the *Implementing the Recommendations of the 9/11 Commission Act of 2007*, (6 U.S.C. §§ 1161 and 1162) including infrastructure, facilities, and equipment upgrades; or (b) that the Secretary of Homeland Security considers appropriate

Appendix B – FY 2018 IPR Funding Guidelines

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

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

Management and Administration

M&A costs may not exceed five percent (5%) of the total award. FY 2018 IPR funds may be used for the following M&A costs:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of the FY 2018 IPR program or the design, requirements, and implementation of the IPR program
- Hiring of full-time or part-time staff, contractors, or consultants and M&A expenses related to pre-application submission management activities and application requirements or meeting compliance with reporting/data collection requirements, including data calls
- Domestic travel expenses, only if relating to and necessary for the management and administration of the grant

Allowable Costs

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

- Planning
- Organization
- Operational Activities
- Equipment
- Training
- Exercises
- M&A

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

Planning

FY 2018 IPR funds may be used for the following types of planning activities:

- Development and enhancement of security plans and protocols
- Development or further strengthening of security assessments, including multi-agency and multi-jurisdictional partnerships and conferences to facilitate planning activities
- Hiring of full or part-time staff and contractors or consultants to assist with planning activities under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant (not for the purpose of hiring public safety personnel)
- Materials required to conduct planning activities

- Other project planning activities with prior approval from DHS/FEMA

Operational Packages (OPacks)

OPacks include the aggregation of allowable expenses for personnel, training, and equipment that are required to build and sustain a team's operational mission. OPacks are effective tactics for supporting the FY 2018 funding priorities for the IPR program. Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant.

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

DHS/FEMA encourages the recipient to develop innovative layered approaches to enhance both human and facility security on transit systems. Helping mass transit systems and the recipient increase unpredictability, and ultimate effectiveness of monitoring and patrol in their security and terrorism prevention programs is critical to national transit security. It is expected that OPack modules will be applied to address the IPR project priorities listed in [Appendix A - FY 2018 IPR Program Priorities](#). The following OPacks complement existing security systems and provide appropriate, practical, and cost-effective means of protecting assets.

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

mobile explosive screening technologies.

Funding Availability for OPacks

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

Table 1: Available Funding for OPacks

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

OPack Requirements

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

Table 2: OPack Requirements

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

Allowable Expenses for OPacks

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

Table 3: Allowable Expenses for OPacks

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

Specific Guidance for Explosives Detection Canine Teams (EDCT)

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

EDCT Certification

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

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

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

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

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

EDCT Submission Requirements

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

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

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

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

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

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

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

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

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

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

Equipment

FY 2018 IPR funds may be used for the following categories of equipment. A comprehensive listing of allowable equipment categories and types is found in the DHS/FEMA Authorized Equipment List (<https://www.fema.gov/authorized-equipment-list>). These costs include:

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

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

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

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

Requirements for Small Unmanned Aircraft System

All requests to purchase Small Unmanned Aircraft System (SUAS) with DHS/FEMA grant funding must comply with [IB 426](#) and must also include the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment.

Maintenance and Sustainment

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

FY 2018 grant funds are intended to support the Goal and fund projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide the recipient the ability to meet this objective, the policy set forth in GPD's [IB 379: Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding](#) expands the allowability for the support of equipment that has previously been purchased with both federal grant and non-federal grant funding. The eligible costs for maintenance and sustainment however need to be otherwise allowable expenditure under the applicable grant programs, and be tied to one of the core capabilities in the five mission areas outlined in the Goal.

Training

FY 2018 IPR funds may be used for the following training activities:

- **Training Workshops and Conferences.** Grant funds may be used to plan and conduct training workshops or conferences, to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and training plan development. The recipient is strongly encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** Full or part-time staff or contractors/consultants may be hired to support training-related activities. Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant. . Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. In no case is dual compensation allowable.
- **Overtime and Backfill.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at DHS/FEMA and/or approved training courses and programs are allowable. Reimbursement of these costs should follow applicable DHS/FEMA policies. In no case is dual compensation allowable.
- **Travel.** Domestic travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., gloves, non-sterile masks).
- **Other Items.** These costs may include the rental of space/locations for planning and conducting training.

- **Funds Used to Develop, Deliver, and Evaluate Training.** Includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the After Action Report/Improvement Plan (AAR/IP) and addressed in the training cycle.
- **Additional Information.** For additional information on training course review and approval requirements please refer to DHS/FEMA Grant Programs Directorate Policy FP 207-008-064-1, Review and Approval Requirements for Training Courses Funded through Preparedness Grants, issued on September 9, 2013. The Policy can be accessed at <http://www.fema.gov/media-library/assets/documents/34856>.

Exercises

FY 2018 IPR funds may be used for the following exercise activities:

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

Other Items. These costs may include space/location/facilities for exercise planning and conduct as well as rental of equipment. Amtrak is encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. This may also include costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with

disabilities.

Improving Cybersecurity Capabilities

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

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

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

Unallowable Costs

Specific unallowable costs include:

- **Unallowable Equipment:** Grant funds must comply with [Information Bulletin 426](#) and may not be used for the purchase of the following Prohibited Equipment: firearms, ammunition, grenade launchers, bayonets, or weaponized aircraft, vessels, or vehicles of any kind with weapons installed. Expenditures for general use items whose purpose is unrelated to activities allocable to the grant. Such items would include general-use software, general-use computers, and related equipment (other than for allowable M&A activities or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems, and ammunition
- Personnel costs (except as detailed above or otherwise allowed by statute).
- Activities unrelated to the completion and implementation of the IPR program
- Other items not in accordance with the Authorized Equipment List (AEL) or not otherwise listed as an allowable cost

- Costs related to any matching or cost share requirement for any other federal award
- Costs related to lobbying or intervention in federal regulatory or adjudicatory proceedings
- Costs related to suing the Federal Government or any other government entity
- Pre-award costs, unless approved in writing by DHS/FEMA and included in the grant award
- Costs that are not consistent with the Cost Principles located in FAR 31.2, as applicable

Appendix C - FY 2018 IPR Program Investment Justification Template

Investment Justification Template: As part of the FY 2018 IPR program application process, the applicant must develop a formal IJ that addresses each initiative being proposed for funding, including M&A costs. The applicant may submit up to 15 IJs. Each IJ must demonstrate how a proposed project addresses gaps and deficiencies in current programs and capabilities and link to one or more capabilities identified in the Goal. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by DHS/FEMA. The applicant must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

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

I. Background

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

I.A. Identify the point(s) of contact for this investment.	
Response Type	Narrative
Response Instructions	Identify the following: <ul style="list-style-type: none"> • POC's name and title; • POC's full mailing address; • POC's telephone number; • POC's fax number; • POC's email address; and • Also include the corresponding information for the single authorizing official for the organization—i.e., the individual authorized to sign a grant award.
Response	

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

II. Strategic and Program Priorities

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

II.B. Describe how this investment specifically addresses one or more of the funding priorities identified in the current year grant NOFO.	
Response Type	Narrative
Response Instructions	<p>Describe how the investment addresses one or more of the following:</p> <ul style="list-style-type: none"> • Protection of high-risk, high-consequence underwater/underground assets and systems; • Protection of other high-risk, high-consequence assets and systems that have been identified through system-wide risk assessments; • Use of visible, unpredictable deterrence; • Targeted counter-terrorism training for key front-line staff; • Emergency preparedness drills and exercises; and • Public awareness and preparedness campaigns.
Response	

III. Impact

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

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Complete the chart below to identify the amount of funding the applicant is requesting for <u>this investment only</u>; • Funds should be requested and detailed by allowable cost categories (i.e., planning, organization, equipment, training, exercises, and management and administration); • Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and • Applicants must indicate whether additional funding (non-FY 2018 grants) will be leveraged for this investment. <p>Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment.</p>
Response	

The following template illustrates how the applicant should indicate the amount of FY 2018 IPR funding required for the investment, how these funds will be allocated across the cost elements, and what (if any) non-FY 2018 IPR funds will be utilized:

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

IV.B. Discuss funding resources beyond the current fiscal year grant funding that have been identified and will be leveraged to support the implementation and sustainment of this investment.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Give the expected total life-span for this investment if fully implemented and sustained through completion; • Discuss other funding sources (e.g., non-federal grant programs, public or private agreements, future fiscal year grants) that the applicant plans on utilizing for the implementation and/or continued sustainment of this investment; • If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY 2018 IPR funding is sufficient for the implementation and sustainment of this investment; and • Investments will be evaluated on the extent to which they exhibit a likelihood of success, or continued success, without requiring additional federal assistance.
Response	

IV.C. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Up to 10 milestones may be provided.	
Response Type	Narrative
Response Instructions	<ul style="list-style-type: none"> • Only include major milestones that are critical to the success of the investment; • While up to 10 milestones may be provided, the applicant should only list as many milestones as necessary; • Milestones are for this discrete investment – those that are covered by the requested FY 2018 IPR funds and will be completed over the 36-month grant period; • Milestones should be kept to high-level, major tasks that will need to occur; • Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; • Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and • List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).
Response	

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

Investment Justification (IJ) Submission and File Naming Convention

IJs must be submitted with the grant application as a file attachment within [ND Grants](#). Applicants must use the following file naming convention when submitting their IJs as part of the FY 2018 IPR program:

Name of Applicant_ IJ Number (Example: Amtrak_IJ_1)

Appendix D - FY 2018 IPR Sample Budget Detail Worksheet

The Budget Detail Worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. Applicants may submit the budget and budget narrative using this form or plain sheets, the applicant’s own form, or a variation of this form. However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to the budget may be deleted.

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

Name/Position	Computation	Cost
		\$
Total Personnel		\$

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

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

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

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

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

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

Item	Computation	Cost
		\$
	Total Equipment	\$

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

Supply Items	Computation	Cost
		\$
	Total Supplies	\$

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

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

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

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

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

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

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

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

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

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

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

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

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

Description	Computation	Cost
		\$
	Total Other	\$

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

Description	Computation	Cost
		\$
	Total Indirect Costs	\$

Budget Summary - After completing the budget worksheet, applicants should transfer the totals for each category to the spaces below, then compute the total direct costs and the total project costs. Indicate the amount of federal funds requested and the amount of non-federal funds that will support the project. FY 2018 IPR does not require matching funds; the non-federal amount should be left blank for all FY 2018 IPR applications.

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

Detailed Budget Submission and File Naming Convention

Investment Justifications must be submitted with the grant application as a file attachment within [ND Grants](#). Applicants must use the following file naming convention when submitting detailed budgets as part of the FY 2018 IPR program:

Applicant_Region_IJ Number_Budget (Example: Amtrak_IJ 1_Budget)

Appendix E - FY 2018 IPR Helpful Hints for Applicants

Are the following components included in the application package?

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

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

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