

**The Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
Fiscal Year 2020 Intercity Passenger Rail (IPR) Program**

**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**

**1. Issued By**

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

**2. Assistance Listings (formerly Catalog of Federal Domestic Assistance (CFDA) Number)**

97.075

**3. Assistance Listings Title (formerly CFDA Title)**

Rail and Transit Security Grant Program

**4. Funding Opportunity Title**

Intercity Passenger Rail Program

**5. Funding Opportunity Number**

DHS-20-GPD-075-000-02

**6. 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)

**7. Appropriation Authority for Program**

*Department of Homeland Security Appropriations Act, 2020* (Pub. L. No. 116-93)

**8. Announcement Type**

New

## 9. Program Overview, Objectives, and Priorities

### Overview

The Fiscal Year (FY) 2020 Intercity Passenger Rail (IPR) – Amtrak program is one of four grant programs that constitute the Department of Homeland Security (DHS)/Federal Emergency Management Agency’s (FEMA’s) focus on transportation infrastructure security activities. These grant programs are part of a comprehensive set of measures authorized by Congress and implemented by the Department of Homeland Security (DHS) to help strengthen the Nation’s critical infrastructure against potential terrorist attacks. IPR provides funds to Amtrak to protect critical surface transportation infrastructure and the traveling public from acts of terrorism. Among the five basic homeland security missions noted in the 2018 DHS Quadrennial Homeland Security Review, IPR supports the goal to Strengthen National Preparedness and Resilience.

The 2018-2022 FEMA Strategic Plan creates a shared vision for managing the risks posed by terrorism and sets an ambitious, yet achievable, path forward to unify and further professionalize emergency management across the country. The IPR program supports the goals of Building a Culture of Preparedness and Readyng the Nation for Catastrophic Disasters. We invite our stakeholders and partners to also adopt these priorities and join us in building a more prepared and resilient nation.

Finally, for FY 2020, DHS is focused on the criticality of information sharing and collaboration to building a national culture of preparedness and protecting against terrorism and other emerging threats to our national security. DHS and its homeland security mission were born from the “failures among federal agencies and between the federal agencies and state and local authorities to share critical information related to the threat of terrorism” prior to the September 11, 2001, attacks.<sup>1</sup> The threat profile has changed in the last two decades – we now face continuous cyber threats by sophisticated actors, threats to soft targets and crowded places, threats to our democratic election process and threats from new and emerging technologies. But information sharing and cooperation between state, local, and tribal authorities and federal agencies, including all DHS officials, is just as vital, and perhaps even more vital, today. Therefore, for FY 2020, we have identified [three] priority areas, tied to some of the most serious threats that recipients should address with their IPR funds. Perhaps most importantly, DHS will be focused on forging partnerships to strengthen information sharing and collaboration in each of these priority areas and looking for recipients to remove barriers to communication and cooperation with DHS.

### Objectives

The objective of the FY 2020 IPR is to provide funds to the National Railroad Passenger Corporation (Amtrak) to protect critical transportation infrastructure and the travelling public from terrorism, and to increase transportation infrastructure resilience.

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<sup>1</sup> Homeland Security Act of 2002: Report Together with Minority and Dissenting Views 222, Select Committee on Homeland Security: 107th Congress, U.S. House of Representatives (2002) (H. Rpt. 107-609).

**Priorities**

Given the evolving threat landscape, it is incumbent upon DHS/FEMA to continuously evaluate the national risk profile and set priorities that help ensure appropriate allocation of scarce security dollars. In assessing the national risk profile for FY 2020, three areas attract the most concern. As a result, DHS is requiring a minimum percentage of the FY 2020 IPR be spent in the following areas:

- 1) Enhancing cybersecurity – (no minimum percent);
- 2) Enhancing the protection of soft targets/crowded places – 5 percent; and
- 3) Addressing emerging threats (e.g., transnational criminal organizations, weapons of mass destruction [WMD], unmanned aerial systems [UASs], etc.) – 5 percent.

Likewise, there are several enduring security needs that crosscut the homeland security enterprise. The following are second-tier priorities that help recipients implement a comprehensive approach to securing critical transportation infrastructure:

- 1) Effective planning;
- 2) Training and awareness campaigns;
- 3) Equipment and capital projects; and
- 4) Exercises.

The table below provides a breakdown of these priority areas for the FY 2020 IPR, showing both the core capabilities enhanced and lifelines supported, as well as examples of eligible project types for each area. A detailed description of allowable investments for each project type is included in the [Preparedness Grants Manual](#).

**FY 2020 IPR Funding Priorities**

Priority Areas	Core Capabilities	Lifelines	Example Project Types
<b>National Priorities</b>			
Enhancing Cybersecurity	<ul style="list-style-type: none"> <li>• Cybersecurity</li> <li>• Intelligence and information sharing</li> </ul>	<ul style="list-style-type: none"> <li>• Safety and security</li> <li>• Transportation</li> </ul>	<ul style="list-style-type: none"> <li>• Cybersecurity risk assessments</li> <li>• Projects that address vulnerabilities identified in cybersecurity risk assessments               <ul style="list-style-type: none"> <li>○ Improving cybersecurity of critical infrastructure to meet minimum levels identified by CISA</li> <li>○ Cybersecurity training and planning</li> </ul> </li> </ul>

Priority Areas	Core Capabilities	Lifelines	Example Project Types
Enhancing the Protection of Soft Targets/Crowded Places	<ul style="list-style-type: none"> <li>Operational coordination</li> <li>Public information and warning</li> <li>Intelligence and Information Sharing</li> <li>Interdiction and disruption</li> <li>Screening, search, and detection</li> <li>Access control and identity verification</li> <li>Physical protective measures</li> <li>Risk management for protection programs and activities</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Physical security enhancements at Amtrak-owned stations <ul style="list-style-type: none"> <li>Security cameras (CCTV)</li> <li>Security screening equipment and technology for people and baggage</li> <li>Access controls <ul style="list-style-type: none"> <li>Fencing, gates, barriers, etc.</li> </ul> </li> </ul> </li> <li>Use of visible, unpredictable deterrence, to include Operational Packages <ul style="list-style-type: none"> <li>Explosive Detection Canine Teams</li> <li>Mobile Screening Teams</li> <li>Anti-terrorism Teams</li> </ul> </li> <li>Directed/Surge Patrols on Overtime</li> </ul>
Addressing Emerging Threats, such as Transnational Criminal Organizations, WMD and UAS	<ul style="list-style-type: none"> <li>Interdiction and disruption</li> <li>Screening, search and detection</li> <li>Physical protective measures</li> <li>Intelligence and information sharing</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Chemical Biological Radiological Nuclear and Explosive (CBRNE) detection, prevention, response, and recovery equipment</li> <li>Explosive Detection Canine Teams</li> <li>Security screening equipment and technology for people and baggage</li> <li>UAS detection technologies</li> </ul>
<b>Enduring Needs</b>			
Planning	<ul style="list-style-type: none"> <li>Planning</li> <li>Risk management for protection programs &amp; activities</li> <li>Risk &amp; disaster resilience assessment</li> <li>Threats and hazards identification</li> <li>Operational coordination</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Development of: <ul style="list-style-type: none"> <li>System-wide Security Risk Management Plans</li> <li>Continuity of Operations Plans</li> <li>Response Plans/Station Action Plans</li> <li>System-wide and/or asset-specific vulnerability assessments</li> </ul> </li> <li>Efforts to strengthen governance integration between/among regional partners</li> </ul>
Training & Awareness	<ul style="list-style-type: none"> <li>Long-term vulnerability reduction</li> <li>Public information &amp; warning</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Active shooter training</li> <li>Security training for employees</li> <li>Public awareness/preparedness campaigns</li> </ul>
Equipment & Capital Projects	<ul style="list-style-type: none"> <li>Long-term vulnerability reduction</li> <li>Infrastructure systems</li> <li>Operational communications</li> <li>Interdiction &amp; disruption</li> <li>Screening, search &amp; detection</li> <li>Access control &amp; identity verification</li> <li>Physical protective measures</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Top Transit Asset List (TTAL) risk remediation</li> <li>Protection of other high-risk, high-consequence areas or systems that have been identified through system-wide risk assessments</li> </ul>
Exercises	<ul style="list-style-type: none"> <li>Long-term vulnerability reduction</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Response exercises</li> </ul>

## 10. Performance Metrics

Performance metrics for this program are as follows:

- Percentage of funding allocated by the recipient to core capabilities to build or sustain the national priorities identified in the section above.

## B. Federal Award Information

- |   |                       |
|---|-----------------------|
| 1. Available Funding for the NOFO:                | \$10,000,000          |
| 2. Period of Performance:                         | 36 months             |
| 3. Projected Period of Performance Start Date(s): | 9/1/2020              |
| 4. Projected Period of Performance End Date(s):   | 8/31/2023             |
| 5. Funding Instrument Type:                       | Cooperative Agreement |

Throughout the period of performance, FEMA consistently has substantial federal involvement in the recipient's activities. The program office continuously reviews and approves various stages of work. They also are able to halt an activity immediately if detailed performance specifications aren't met. FEMA undertakes monitoring that permits them to direct or redirect work because of other projects and the program office and the recipient participate jointly in assistance activities.

## C. Eligibility Information

### 1. Eligible Applicants

The National Railroad Passenger Corporation (Amtrak) is the only eligible entity.

### 2. Applicant Eligibility Criteria

Sections 1405 (6 U.S.C. § 1134) and 1406 (6 U.S.C. § 1135) of the *Implementing Recommendations of the 9/11 Commission Act of 2007* require that high risk public transportation agencies that receive grant funding develop a security plan based on a security assessment. Additionally, the statutes direct that grant funds be used to address items in the security assessment or the security plan. To be eligible for the FY 2020 IPR, Amtrak must have developed, or updated, its security plan. The security plan must be based on a security assessment, such as the Baseline Assessment for Security Enhancement (BASE), which is performed by the Transportation Security Inspectors-Surface Division of the Transportation Security Administration (TSA). This security assessment must have been conducted within the last three years prior to receiving an FY 2020 IPR award. A copy of the security plan and security assessment must be provided to DHS/FEMA upon request. Please see the [Preparedness Grants Manual](#) for more information on security plan requirements.

Entities providing transit security (e.g., city/county police department or a public transportation agency's own police department) for a public transportation agency must

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

Amtrak, in receiving funds through this program, must participate in Regional Transit Security Working Groups (RTSWG) in participating urban areas. The RTSWG should serve as the forum for regional partners to discuss risk, planning efforts, and mitigation strategies. These discussions should be held regardless of funding to continue enhancing the overall security of the region. Regional working groups are a best practice for enhancing security and are encouraged for all jurisdictions.

### 3. Other Eligibility Criteria

Prior to allocation of any Federal preparedness awards in FY 2020, recipients must adopt and/or maintain implementation of the National Incident Management System (NIMS). Please see the [Preparedness Grants Manual](#) for more information on NIMS.

### 4. Cost Share or Match

There is no cost share or cost match requirement for the FY 2020 IPR program.

## **D. Application and Submission Information**

### 1. Key Dates and Times

- a. **Application Start Date:** 2/14/2020
- b. **Application Submission Deadline:** 4/30/2020 ~~4/15/2020~~ at 5 P.M. 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 not received by the deadline or consider these late applications for funding.*** DHS/FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline, or other exigent or emergency circumstances.

***Applicants experiencing technical issues must notify the FEMA Headquarters (HQ) Program Analyst prior to the application deadline.*** If applicants do not know their FEMA HQ Program Analyst or if there are programmatic questions or concerns, please contact the Centralized Scheduling and Information Desk (CSID) by phone at

(800) 368-6498 or by e-mail at [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov), Monday through Friday, 9 a.m. – 5 p.m. ET.

- c. **Anticipated Funding Selection Date:** *No later than 7/1/2020*
- d. **Anticipated Award Date:** *No later than 9/30/2020*
- e. **Other Key Dates:**

<b>Event</b>	<b>Suggested Deadline for Completion</b>
Obtaining DUNS Number	3/16/2020 <del>3/1/2020</del>
Obtaining a valid EIN	3/16/2020 <del>3/1/2020</del>
Updating SAM registration	3/16/2020 <del>3/1/2020</del>
Completing initial application in Grants.gov	4/23/2020 <del>4/8/2020</del>
Submitting final application in the Non-Disaster (ND) Grants System	4/30/2020 <del>4/15/2020</del> , 5 P.M. ET

**2. Agreeing to Terms and Conditions of the Award**

By submitting an application, applicants agree to comply with the requirements of this NOFO and the terms and conditions of the award, should they receive an award.

**3. Address to Request Application Package**

Application forms and instructions are available on Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants. Hard copies of the NOFO and associated application materials are not available. In order to obtain the application package, select “Download a Grant Application Package.” Enter the Assistance Listings (formerly CFDA) and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice and all relevant NOFOs is (800) 462-7585. Initial applications are processed through the Grants.gov portal. Final applications are completed and submitted through FEMA’s Non-Disaster Grants (ND Grants) System. Application forms and instructions are available at Grants.gov. Applications will be processed through the Grants.gov portal and ND Grants.

**4. Steps Required to Submit an Application, Unique Entity Identifier, and System for Award Management (SAM)**

To apply for an award under this program, all applicants must:

- a. Apply for, update, or verify their Data Universal Numbering System (DUNS) Number from Dun & Bradstreet (D&B) and Employer ID Number (EIN)

- b. In the application, provide a valid Data Universal Numbering System DUNS number, which is currently the unique entity identifier;
- c. Have an account with [login.gov](https://login.gov);
- d. Register for, update, or verify their SAM account and ensure the account is active before submitting the application;
- e. Create a Grants.gov account;
- f. Add a profile to a Grants.gov account;
- a. Establish an Authorized Organizational Representative (AOR) in Grants.gov;
- b. Submit an initial application in Grants.gov;
- g. Submit the final application in the ND Grants system; and
- h. 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 a federal awarding agency.

Applicants are advised that DHS may not make a federal award until the applicant has complied with all applicable DUNS and SAM requirements. Therefore, an applicant's SAM registration must be active not only at the time of application, but also during the application review period and when DHS is ready to make a federal award. Further, as noted above, an applicant's or recipient's SAM registration must remain active for the duration of an active federal award. If an applicant's SAM registration is expired at the time of application, expires during application review, or expires any other time before award, DHS 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.

## **5. Electronic Delivery**

DHS 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 encourages or requires applicants to submit their applications online through Grants.gov, depending on the funding opportunity. For this funding opportunity, applicants are required to submit applications through Grants.gov and ND Grants.

## **6. How to Register to Apply through Grants.gov**

- a. *Instructions:* Registering in Grants.gov is a multi-step process. Read the instructions below about registering to apply for DHS 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 Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this grant funding opportunity, then you may begin with step 3, Create a Grants.gov account, listed below.



Creating a Grants.gov account can be completed online in minutes, but DUNS and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines. Complete organization instructions can be found on Grants.gov here:

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

- 1) *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>

- 2) *Register with SAM:* 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>

- 3) *Create a Grants.gov Account:* The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>

- 4) *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>

- 5) *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>

- 6) *Track Role Status*: To track your role request, refer to:  
<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>
- 7) *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 people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; ***this step is often missed, and it is crucial for valid and timely submissions.***

## **7. How to Submit an Application to DHS via Grants.gov**

Grants.gov applicants can 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 NOFO, you can create individual instances of a workspace.

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>

- a. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- b. *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. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
- c. *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. 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 to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

- d. *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.

- e. *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.
- f. *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 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- g. *Track a Workspace Submission:* After successfully submitting a workspace application, 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>
- h. *Applicant Support:* Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at [support@grants.gov](mailto: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 DHS with tracking your issue and understanding background information on the issue.

## **8. Submitting the Final Application in Non-Disaster Grants System (ND Grants)**

For assistance registering for the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076. For step-by-step directions on using the ND Grants system and other guides, please see <https://www.fema.gov/non-disaster-grants-management-system>.

After submitting the initial application in [Grants.gov](https://www.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.

## **9. Timely Receipt Requirements and Proof of Timely Submission**

**Online Submissions:** As application submission is a two-step process, the applicant with the Authorized Organization Representative (AOR) role who submitted the application in Grants.gov will receive an acknowledgement of receipt, a tracking number (GRANTXXXXXXXX) from Grants.gov, and an Agency Tracking Number (EMX-2020-XX-XXXX) with the successful transmission of their initial application. This notification does not serve as proof of timely submission, as the application is not

complete until it is submitted in ND Grants . All applications must be received in ND Grants by 5 p.m. Eastern Time on April 30, 2020. 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. Additionally, the applicant(s) listed as contacts on the application will receive a system-generated email to confirm receipt.

#### **10. Content and Form of Application Submission**

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

#### **IPR-Specific Application Instructions**

All applicants will submit their TSGP grant application and associated investment justifications, including detailed budgets and associated Memoranda of Understanding (MOU)/Memoranda of Agreement (MOA), as a file attachment within [ND Grants](#) prior to the application deadline.

#### **Priority Investments (IPR)**

##### **Cybersecurity (no minimum percentage)**

Cybersecurity investments must support the security and functioning of critical infrastructure and core capabilities as they relate to achieving target capabilities related to preventing, preparing for, protecting against, or responding to acts of terrorism.

##### **Soft Targets and Crowded Places (5% minimum)**

Soft targets and crowded places are increasingly appealing to terrorists and other extremist actors because of their relative accessibility and the large number of potential targets. This challenge is complicated by the prevalent use of simple tactics and less sophisticated attacks. Segments of our society are inherently open to the general public, and by nature of their purpose do not incorporate strict security measures. Given the increased emphasis by terrorists and other extremist actors to leverage less sophisticated methods to inflict harm in public areas, it is vital that the

public and private sectors collaborate to enhance security of locations such as transportation centers, parks, restaurants, shopping centers, special event venues, and similar facilities. Additional resources and information regarding securing soft targets and crowded places are available through the [Cybersecurity and Infrastructure Security Agency](#).

### **Emerging Threats (5% minimum)**

The spread of rapidly evolving and innovative technology, equipment, techniques, and knowledge presents new and emerging dangers for homeland security in the years ahead. Terrorists remain intent on acquiring weapons of mass destruction (WMD) capabilities, and rogue nations and non-state actors are aggressively working to develop, acquire, and modernize WMDs that they could use against the Homeland. Meanwhile, biological and chemical materials and technologies with dual use capabilities are more accessible throughout the global market. Due to the proliferation of such information and technologies, rogue nations and no-state actors have more opportunities to develop, acquire, and use WMDs than ever before. Similarly, the proliferation of unmanned aircraft systems, artificial intelligence, and biotechnology increase opportunities of threat actors to acquire and use these capabilities against the United States and its interests. Additional resources and information regarding emerging threats are available through the [Countering Weapons of Mass Destruction Office](#) and the [Cybersecurity and Infrastructure Security Agency](#).

### **Investment Justification (IJ)**

As part of the FY 2020 IPR application process, applicants must develop a formal IJ that addresses each initiative being proposed for funding, including a project's management and administration (M&A) costs. ***Applicants may submit up to eight IJs.*** IJs 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 2020 IPR program:

***Name of Applicant\_IJ Number (Example: Amtrak\_IJ 1)***

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

1. Background
2. Strategic and Program Priorities
3. Impact
4. Funding/Implementation Plan

### **Operational Packages (OPacks)**

Applicants that meet basic OPack eligibility requirements may elect to pursue OPack funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti-Terrorism Teams, for new capabilities as well as to sustain existing OPacks. Applicants pursuing both new OPacks and sustainment funding for existing OPacks must indicate in their IJs which option is the higher priority for their agency. Additionally, applicants pursuing either new teams or sustainment of existing teams must include the number of OPack teams already in place (either funded by the agency or by the IPR). In addition, recipients must commit to minimum training standards to be set by DHS/FEMA for all Federally funded security positions. In order for an application for an OPack to be considered eligible, it must include a *Five-Year Security Capital and Operational Sustainment Plan*. Please see [www.grants.gov](http://www.grants.gov) for the required template.

### **Detailed Budget**

Applicants must provide detailed budgets for the funds requested. The detailed budgets must be submitted with the grant application as a file attachment within [ND Grants](#). The budgets must be complete, reasonable, and cost-effective in relation to the proposed projects. The budgets should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of M&A costs. Applicants receiving funds may not obligate, expend, or draw down funds until budgets and budget narratives have been approved by DHS/FEMA. The budget detail worksheet may be used as a guide to assist applicants in the preparation of budgets and budget narratives. ***Note: Design and Planning/Engineering costs must be clearly identified in a separate line item in order for partial funding to be released prior to Environmental Planning and Historic Preservation (EHP) review and approval.*** Please see the [Preparedness Grants Manual](#) for information on the EHP review process.

Detailed budgets 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 IPR application process:

***Agency Name\_IJ Number\_Budget (Example: Amtrak IJ\_1\_Budget)***

### **Sensitive Security Information (SSI) Requirements**

A portion of the information that is routinely submitted in the course of applying for funding or reporting under certain programs or that is provided in the course of an entity's grant management activities under those programs that are under Federal control may be subject to protection under an SSI marking and must be properly identified and marked accordingly. SSI is a control designation used by DHS/FEMA to protect transportation security-related information. It is applied to information about security programs; vulnerability and threat assessments; screening processes; technical



specifications of certain screening equipment and objects used to test screening equipment; and equipment used for communicating security information relating to air, land, or maritime transportation. Further information can be found at 49 C.F.R. Part 1520, Protection of Sensitive Security Information. For the purposes of the IPR, and due to the high frequency of SSI found in IPR-related IJs, all IPR 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.

## **11. Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372. (See <https://www.archives.gov/federal-register/codification/executive-order/12372.html>; <https://www.whitehouse.gov/wp-content/uploads/2019/02/SPOC-February-2019.pdf>).

## **12. Funding Restrictions**

All costs charged to awards covered by this NOFO must comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements at 2 C.F.R. Part 200, unless otherwise indicated in the NOFO, the terms and conditions of the award, or the [Preparedness Grants Manual](#). For more information on FEMA's implementation of 2 C.F.R. Part 200, see Information Bulletin (IB) No. 400.

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. See the [Preparedness Grants Manual](#) for more information on funding restrictions and allowable costs.

## **13. Allowable Costs**

### **Cost Principles**

All costs charged to awards covered by this NOFO must comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements at 2 C.F.R. Part 200, unless otherwise indicated in the NOFO, the terms and conditions of the award, or the [Preparedness Grants Manual](#). For more information on FEMA's implementation of 2 C.F.R. Part 200, see Information Bulletin (IB) No. 400. 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. See the [Preparedness Grants Manual](#) for more information on funding restrictions and allowable costs.

## Direct Costs

### a. Construction and Renovation

Construction and renovation costs to achieve capability targets related to preventing, preparing for, protecting against, or responding to acts of terrorism are allowed under this program. For construction costs to be allowed, they must be specifically approved by DHS/FEMA in writing prior to the use of any program funds for construction or renovation. See the [Preparedness Grants Manual](#) for additional information. Additionally, recipients are required to submit an SF-424C Form and budget detail citing the project costs.

### b. Operational Overtime

Operational Overtime costs are allowed under this program.

### c. 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.

### d. Maintenance and Sustainment

Maintenance- and sustainment-related costs, such as maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA Policy FP 205-402-125-1 (<http://www.fema.gov/media-library/assets/documents/32474>). For additional details on allowable costs under the IPR, see the [Preparedness Grants Manual](#).

### e. Management and Administration (M&A) Costs

M&A costs are allowed. Recipients may use *up to* 5 percent of the amount of the award for their 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. Management and administrative expenses must be based on actual expenses or known contractual costs. M&A 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. Please see the [Preparedness Grants Manual](#) for additional information on Direct Costs.



**f. Indirect (Facilities & Administrative [F&A]) Costs**

Indirect costs are allowable under this program as described in 2 C.F.R. Part 200, including 2 C.F.R. § 200.414. Applicants with a negotiated indirect cost rate agreement that desire to charge indirect costs to an award must provide a copy of their negotiated indirect cost rate agreement at the time of application. Applicants that are not required by 2 C.F.R. Part 200 to have a negotiated indirect cost rate agreement but are required by 2 C.F.R. Part 200 to develop an indirect cost rate proposal must provide a copy of their proposal at the time of application. Post-award requests to charge indirect costs will be considered on a case-by-case basis and based upon the submission of an agreement or proposal as discussed above.

**E. Application Review Information**

**1. Application Evaluation Criteria**

**a. Programmatic Criteria**

The FY 2020 IPR applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed investments. 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. IJs 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 National Priorities contained in this NOFO.
- 2. Ability to reduce risk of catastrophic events.** Projects will be evaluated and prioritized on their ability to reduce risks associated with potential terrorist attacks and all other types of hazards. For projects where an applicant's collaboration with others is relevant to the project's ability to reduce risks, projects will be evaluated based on the degree to which the proposal adequately details how the applicant will use investments to overcome existing logistical, technological, legal, policy, and other impediments to collaborating, networking, sharing information, cooperating, and fostering a culture of national preparedness with federal, state, regional, and nonprofit partners. In evaluating an applicant's ability to collaborate, FEMA will consider any information provided by the applicant and may also consider relevant information from other sources.
- 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 Amtrak's ability to complete the proposed project within submitted timeframes.

Grant projects must be both (1) feasible and effective at reducing the risks for which the project was designed and (2) able to be fully completed within the three-year period of performance. DHS/FEMA will use the information provided in the

application and any supporting documentation to determine the feasibility and effectiveness of proposed grant projects. Information that would assist in this 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.

**b. Financial Integrity Criteria**

Prior to making a federal award, the FEMA is required by 31 U.S.C. § 3321 note, 41 U.S.C. § 2313, and 2 C.F.R. § 200.205 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Therefore, 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 award.
- 4) Reports and findings from audits.
- 5) Ability to effectively implement statutory, regulatory, or other requirements.

**c. Supplemental Financial Integrity Criteria and Review**

If the anticipated Federal share of a Federal award will be greater than the simplified acquisition threshold, currently \$250,000 (*see* Section 805 of the National Defense Authorization Act for Fiscal Year 2008, Pub. L. No. 115-91, OMB Memorandum M-18-18 at <https://www.whitehouse.gov/wp-content/uploads/2018/06/M-18-18.pdf>; *see also* [FEMA GPD Information Bulletin No. 434, Increases and Changes to the Micro-Purchase and Simplified Acquisition Thresholds](#)):

- i. Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).
- ii. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

- iii. DHS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, 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 C.F.R. § 200.205 Federal awarding agency review of risk posed by applicants.

## **2. Review and Selection Process**

Amtrak is the only eligible entity for the FY 2020 IPR program.

## **F. Federal Award Administration Information**

### **1. Notice of Award**

Please see the [Preparedness Grants Manual](#) for information on Notice of Award.

### **2. Administrative and National Policy Requirements**

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

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made, unless the application is for a continuation award. In that event, the terms and conditions in effect at the time the original award was made will generally apply. What terms and conditions will apply for the award will be clearly stated in the award package at the time of award. Please see the [Preparedness Grants Manual](#) for further information on Administrative and National Policy requirements.

### **3. Reporting**

Please see the [Preparedness Grants Manual](#) for information on reporting requirements, including financial, programmatic, and closeout reporting and disclosing information per 2 C.F.R. § 180.335.

#### **a. 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 it or 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:

- 1) Are presently excluded or disqualified;
- 2) Have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or any of the recipient's principals for one of those offenses within that time period;
- 3) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a); or

- 4) Have had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

At any time after accepting the award, if the recipient learns that it or 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.

**b. Reporting of Matters Related to Recipient Integrity and Performance**

Per 2 C.F.R. Part 200, Appendix I § F.3, the additional post-award reporting requirements in 2 C.F.R. Part 200, Appendix XII may apply to applicants who, if upon becoming recipients, have a total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies that exceeds \$10,000,000 for any period of time during the period of performance of an award under this funding opportunity. Recipients that meet these criteria must maintain current information reported in FAPIIS about civil, criminal, or administrative proceedings described in paragraph 2 of Appendix XII at the reporting frequency described in paragraph 4 of Appendix XII.

**4. Monitoring**

Per 2 C.F.R. § 200.336, FEMA, through its authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems to review project accomplishments and to provide any required technical assistance. During site visits, FEMA will review grant recipients' files related to the grant award. As part of any monitoring and program evaluation activities, grant recipients must permit FEMA, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to FEMA requests for information relating to the grant program.

**G. DHS Awarding Agency Contact Information**

**1. Contact and Resource Information**

**Centralized Scheduling and Information Desk (CSID)**

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

### **FEMA Grant Programs Directorate**

FEMA's Grant Programs Directorate (GPD) provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the FEMA Grant Operations Help Center via e-mail at [ASK-GMD@fema.gov](mailto:ASK-GMD@fema.gov).

### **FEMA Regional Offices**

FEMA Regional Offices also may provide 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. FEMA Regional Office contact information is available at <https://www.fema.gov/fema-regional-contacts>.

### **GPD Environmental Planning and Historic Preservation (GPD EHP)**

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

## **2. Systems Information**

### **Grants.gov**

For technical assistance with [Grants.gov](https://www.grants.gov), please call the customer support hotline at (800) 518-4726. Support is available 24/7, except for Federal holidays.

### **Non-Disaster (ND) Grants**

For technical assistance with the ND Grants system, please contact the ND Grants Helpdesk at [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076, Monday through Friday, 9 a.m. – 5 p.m. ET.

### **Payment and Reporting System (PARS)**

DHS/FEMA uses the Payment and Reporting System (PARS) for financial reporting, invoicing, and tracking payments. DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, recipients must complete a Standard Form 1199A, Direct Deposit Form.

## **H. Additional Information**

### **1. Period of Performance Extensions**

Extensions to the period of performance under this program are allowed on a case-by-case basis. Please see the [Preparedness Grants Manual](#) for additional information regarding extension requests.

## 2. Other

GPD has developed the [Preparedness Grants Manual](#) to guide applicants and recipients of grant funding on how to manage their grants and other resources. Recipients seeking guidance on policies and procedures for managing Preparedness Grants should reference the manual for further information. Examples of information contained in the [Preparedness Grants Manual](#) include:

- Conflicts of Interest in the Administration of Federal Awards and Subawards
- Extensions
- Monitoring
- Procurement Integrity
- Other Post-Award Requirements

In response to recent disasters, FEMA has introduced a new lifelines construct, in order to enable the continuous operation of government functions and critical business essential to human health, safety, or economic security during and after a disaster. To learn more about lifelines, please refer to the [Preparedness Grants Manual](#), or visit <http://www.fema.gov/national-planning-frameworks>.

Additionally, recipients can access the [DHS Strategic Framework for Countering Terrorism and Targeted Violence](#) which explains how the department will use the tools and expertise that have protected and strengthened the country from foreign terrorist organizations to address the evolving challenges of today.