



## FY 2005 Transit Security Grant Program (TSGP) Frequently Asked Questions

### 1. Is there an example/template provided for the Program Narrative submission format?

Information required for the Program Narrative is listed in the program guidance on page 14. There is no template for the Program Narrative, as each region will have different needs and priorities that a general template would not accommodate. Per the "Program Narrative" guidance at the top of page 14, "The program narrative should also include a description of the transit agencies' operating systems, including infrastructure, ridership, the number of track miles (if applicable), the number of vehicles or vessels (if applicable), types of service and other important features, as well as system maps, a description of the geographical borders of the transit systems and the cities and counties served, and a description of other sources of funding being leveraged for security enhancements. ***In addition, the program narrative should address the transit systems' current prevention, detection and response capabilities relative to IEDs, as well as chemical, biological, radiological and nuclear devices (including sensors, canine units, etc.). This information may be provided using one of the attachment fields within the on-line GMS application.***"

### 2. If a region has only one eligible transit agency, is that transit agency considered the Regional Transit Security Working Group (RTSWG) for the Region?

The Regional Transit Security Working Group is comprised of the respective transit system or systems eligible to receive funding. Representatives of the related Urban Area Working Groups, and the State Administrative Agency (Agent or Point of Contact). Per Section III, Paragraph D, General Application Requirements, subsection 6, page 15; "The Regional Transit Security Working Group must also include representation from the applicable state(s) and urban area(s) served by the transit systems receiving funds, and it is strongly recommended that other transit agencies whose systems intersect with those of the grant recipients also participate in the Regional Transit Security Working Group process. In addition, where transit operations intersect with those of Amtrak in the Northeast Corridor and in Chicago, a representative of Amtrak must be included in the Regional Transit Security Working Group and close coordination on the expenditure of funds for security enhancements at shared facilities must occur."

### 3. Is the registration and application process the responsibility of the State Administrative Agency?

Yes. Per Section III, Paragraph D, General Application Requirements, subsections 1 and 2, page 13 respectively; "SAAs must apply for FY 2005 TSGP funding through GMS at <https://grants.ojp.usdoj.gov/>. ***Applications must be received by ODP no later than May 6, 2005.***" and, "The on-line application must be completed and submitted by the SAA using GMS".

### 4. The application due date provides very little turnaround time for agencies to do a complete engineering/feasibility analysis. Is the application specific or more general, keeping with this short turnaround time?

The application does not require a complete engineering study or feasibility analysis. Applications must be received by ODP no later than May 6, 2005. The Program Guidelines and Application Kit allows later submissions of the Risk Assessment, Security and Emergency Preparedness Plan (SEPP), Consensus Certification, and Regional Transit Security Strategy (RTSS). Applications that contain funding requests for eligible ferry systems must also include a supplement to the Program Narrative submitted with the on-



line application. The supplement must include a program plan and detailed budget for each project submitted for funding consideration.

**5. Do States have accounts on the ODP Secure Portal?**

The State Administrative Agency from each State, or designee, has an established account on the ODP Secure Portal.

**6. Describe the process to gain access to the TSGP compartment of the Secure Portal?**

The Secure Portal can be accessed on-line at <https://odp.esportals.com/>. Access is granted through ODP by emailing requests to Chauncey Burrell at [chauncey.burrell@dhs.gov](mailto:chauncey.burrell@dhs.gov). Only individuals designated with the task of uploading documents onto the Secure Portal will require access. Directions for uploading documents to the Secure Portal can be found on the TSGP Secure Portal webpage under the section for state users.

**7. What is the requirement for the 5% program planning drawdown?**

There will be a Special Condition on each award providing the criteria for this drawdown. The computation for the 5% will be based on the total regional allocation available to eligible rail and intra-city bus transit systems. This 5% is to be used by the eligible agencies for completing the required Risk Assessment, Security Emergency and Preparedness Plan, and Regional Transit Security Strategy. Per Section III Program and Application Requirements, General Program Requirements, page 9, ***“Up to 5% of the total regional allocation may also be made available to the eligible rail and intra-city bus transit systems prior to submission of the transit system risk assessment, Security Emergency and Preparedness Plan and Regional Transit Security Strategy in order to support these required planning activities.”***

**8. There is a single UASI and single eligible transit agency in the region. Can the current transit panel in place be named as the working group for the grant application requirements?**

Yes, as long as representatives from the State Administrative Agency, the UASI Working Group, and the eligible transit system are included in the Regional Transit Security Working Group (RTSWG).

**9. Portland has adopted a UASI strategy that aligns with the State and National strategies. Is it permissible to continue this alignment from a regional perspective?**

Yes, this program encourages the alignment of the Regional Transit Security Strategy with current Urban Area, State, and National Homeland Security strategies. Please note, however, there are evolving policies and protocols from the Department and the Office of State and Local Government Coordination and Preparedness. Also, the FY05 Transit Security Grant Program application kit directs you to key initiatives that may augment your current successes. For additional guidance, please refer to Section V, Additional National Preparedness Initiatives of the Program Guidelines and Application Kit.

**10. If smaller transit agencies are not eligible recipients of grant awards, do they need to be included in the Regional Transit Security Working Groups?**

The Regional Transit Security Working Group should be as inclusive as possible, especially considering the fact that many ineligible agencies will benefit post-award from the improvements made by these grants. Also, inclusion of the smaller systems is important because many of them feed into the larger systems. Appendix B, Section A states, “. . . it is strongly recommended that other transit agencies whose systems intersect with those of the grant recipients also participate in the Regional Transit Security



Working Group process.” Therefore, please consider this recommendation when forming your Regional Transit Security Working Group and developing the Regional Transit Security Strategy.

**11. How is the funding allocation determined within the eligible entities in a region?**

The Security Emergency and Preparedness Plan, along with the Regional Transit Security Strategy, must serve as the basis for proposed allocations of grant funding. Additionally, please note where a region includes more than one state, the applicable State Administrative Agency must approve the allocation. A copy of the required certification form is contained in Appendix C of the program guidelines. Once all applicable signatures have been obtained, this form must be faxed to ODP at: (202) 786-9930. Note: Awards will be special conditioned to prohibit the draw down of funds until this certification is received.

**12. What is the due date of the Security Emergency and Preparedness Plan?**

There is no specific deadline for submission of the individual Security Emergency and Preparedness Plan (SEPP). However, funds will not be released until this document is received. Applicants are encouraged to submit the SEPP as soon as possible and no later than the August 31, 2005, due date of the Regional Transit Security Strategy. Reference to Security Emergency and Preparedness Plan guidance may be located at, III. Program and Application Requirements, Section D. General Application Requirements, subsection 5, page 14, “As part of the application process, SAAs must work with each transit agency eligible to receive FY 2005 TSGP funds to ensure that a Security and Emergency Preparedness Plan as described above in *Section A* has been developed and implemented by the agency. ***The Security Emergency and Preparedness Plan must specifically identify how the transit agency intends to address any shortfalls in IED and other prevention, detection and response capabilities. If a Security Emergency and Preparedness Plan has not been developed and implemented, funds will not be released.***”

**13. Why is a 30 day application period in place for the Ferry portion of the TSGP, as opposed to simply a Letter of Intent? Can ODP revisit timelines or application deadline requirements, currently at 5/6/05?**

The deadline for the ferry portion of the grant program will remain May 6<sup>th</sup>, 2005 because of the need to review and make awards in accordance with Departmental requirements. The regions and systems eligible for this portion of funding should leverage existing risk assessments and security plans to complete the application process. Keep in mind that the application process is a general focus of the project and that the budget submitted is a worksheet that may require adjustment and revision as the process moves forward. Please see Section III, Program and Application Requirements, Paragraph C., Specific Program Requirements for Ferry Systems, pages 11 through 13 for more information.

**14. Is a program narrative part of the grant application?**

Yes. Please refer to Section III, Program and Application Requirements, Paragraph D, General Application Requirements, subparagraph 3, which states, “As part of the application, the SAA must include a program narrative that identifies specific POCs at the transit agencies in the region to work with ODP on the implementation of the FY 2005 TSGP.”

**15. Will Security Emergency and Preparedness Plans prepared by Fiscal Year 2003 working groups be sufficient for the FY 05 TSGP?**

Each transit system must have a current (updated within the past year), comprehensive plan that includes requirements outlined in *The Public Transportation System and Security and Emergency Preparedness Planning Guide*, published by the Federal Transit Administration, and available at <http://www.fta.dot.gov/>.



The plans conducted in FY 2003 could well serve as the basis for meeting this requirement, but must be updated per this guidance.

**16. Are the program requirements similar to the Metropolitan Planning Process requirements?**

Yes, they are quite similar. While your regional MPO practitioners may have added guidance to your application, please consider the United States Department of Transportation as a potential resource for research and guidance. Evidence of these resources may be located at [http://www.planning.dot.gov/Documents/Securitypaper.htm#\\_ftn1](http://www.planning.dot.gov/Documents/Securitypaper.htm#_ftn1) , “The Role of the Metropolitan Planning Organization (MPO) In Preparing for Security Incidents and Transportation System Response” by Michael D. Meyer.

**17. Is there a local cost share?**

Cost sharing is not required but is encouraged. See page 16 of the program guidance for additional information.

**18. Will funding flow through the State Administrative Agency (SAA)?**

Yes. The SAA is responsible for submission of the application and required documents and for drawing down and passing through the funds. Additionally, per Section IV, Reporting, Monitoring and Closeout Requirements, Paragraph B. on page 36, “The SAA is responsible for monitoring transit agency activities to provide reasonable assurance that the transit agency administers federal awards in compliance with federal and state requirements. Responsibilities include the accounting of receipts and expenditures, cash management, the maintaining of adequate financial records, and the refunding of expenditures disallowed by audits.”

**20. Will the State Administrative Agencies (SAAs) be the point of contact to request and receive technical assistance information?**

Yes. For a list of those resources please note Section V, Assistance Resources and Support, pages 30 through 33 of the Program Guidance and Application Kit. SAAs should consider making these Technical Assistance opportunities available to their respective agencies, as there are additional resources available beyond the “typical” transit related programs that may serve these agencies in furtherance of their homeland security missions.

**21. Will there be risk assessment requirements above and beyond FTA risk assessments that have been completed?**

The FTA risk assessments that have been completed are acceptable for meeting the grant requirements. Please refer to Section III, Program and Application Requirements, Paragraph A, General Program, Requirements, subparagraphs 2, 3, and 4 found on pages 8 and 9:

- 1. Conduct a Transit System Risk Assessment.** If not already completed, each transit system will be required to conduct a risk assessment which includes requirements outlined in *The Public Transportation System Security and Emergency Preparedness Planning Guide*, published by the U.S. Department of Transportation’s Federal Transit Administration (FTA), and available at: <http://www.fta.dot.gov/>. For purposes of this grant, rail and intra-city bus systems may use the Security Readiness Assessment conducted by the FTA. These agencies may also use the risk assessments that were completed during the previous round of UASI Transit Security Grants or the risk assessment completed as part of the ODP Mass Transit Technical Assistance Program. Ferry systems carrying more than 150 passengers on domestic voyages or more than 12



passengers on international voyages, and the terminals that serve them, have already been required to conduct security assessments in accordance with the Maritime Transportation Security Act of 2002 (MTSA), and may use these to satisfy the requirements of this program. ***These assessments must be provided to ODP.***

2. **Develop a Security and Emergency Preparedness Plan (SEPP).** Each transit system must have a current (updated within the past year), comprehensive plan that includes the requirements outlined in *The Public Transportation System Security and Emergency Preparedness Planning Guide*, published by the Federal Transit Administration, and available at: <http://www.fta.dot.gov/>. The Security Emergency and Preparedness Plan should provide written policies and procedures to guide the transit system's activities for homeland security and emergency preparedness. ***The Security Emergency and Preparedness Plan should also specifically identify how the transit agency intends to address any shortfalls in IED and other prevention, detection and response capabilities identified as part of the risk assessment. The Security Emergency and Preparedness Plan, along with the Regional Transit Security Strategy described below, must serve as the basis for proposed allocations of grant funding. This plan must be provided to ODP.***
3. **Develop a Regional Transit Security Strategy (RTSS).** A key element of the FY 2005 TSGP is the requirement that transit agencies receiving funds through the program work with the states, urban areas and other transit systems in their defined region to develop an Regional Transit Security Strategy. As the owners and/or operators of infrastructure that is vital to the well being of the states and urban areas they serve, it is imperative that transit systems be incorporated into regional preparedness planning efforts.

***The Regional Transit Security Strategy should serve as the integration point between the individual, risk-based Security Emergency and Preparedness Plans, and the overall security goals and objectives of the region. Therefore, the RTSS must demonstrate a clear linkage to the applicable state and urban area homeland security strategies developed or currently being developed. It is expected that the Security Emergency and Preparedness Plans and the Regional Transit Security Strategy will serve as the basis on which funding is allocated to address regional transit security priorities, and the vehicle through which transit agencies may justify and access other funding and resources available on a region-wide basis through the UASI program. Note: Release of funding is contingent upon the completion, submission and approval by ODP of the Regional Transit Security Strategy. Regional Transit Security Strategies must be completed and submitted to ODP by August 31, 2005.***

## 22. What qualifies as a current risk assessment?

Each transit system will be required to conduct a risk assessment, if not already completed, which includes requirements outlined in *The Public Transportation System Security and Emergency Preparedness Planning Guide*, published by the U.S. Department of Transportation's Federal Transit Administration (FTA), and available at: <http://www.fta.dot.gov/>. For purposes of this grant, rail and intra-city bus systems may use the Security Readiness Assessment conducted by the Federal Transit Administration. These agencies may also use the risk assessments that were completed during the previous round of Urban Area Security Initiative Transit Security Grants or the risk assessment completed as part of the ODP Mass Transit Technical Assistance Program. Ferry systems carrying more than 150 passengers on domestic voyages or more than 12 passengers on international voyages, and the terminals that serve them, have already been required to conduct security assessments in accordance with the Maritime Transportation Security Act of 2002 (MTSA), and may use these to satisfy the requirements of this program.



**23. What is the timeline for the Ferry System grant program?**

Applications must be received by ODP no later than May 6, 2005.

**24. Is there a requirement to pass all funding to eligible agencies within 60 days?**

The State Administrative Agency must obligate at least 97% of the funds awarded to designated transit systems within 60 days of the receipt of funds. For purposes on the FY 05 Transit Security Grant Program, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).

**25. Is May 6<sup>th</sup>, 2005 the absolute date for the application submittal?**

Applications must be received by ODP no later than May 6, 2005. The Program Guidelines and Application Kit allows later submissions of the Risk Assessment, Security and Emergency Preparedness Plan (SEPP), Consensus Certification, and Region Transit Security Strategy (RTSS).

**26. Is a transit risk assessment and Security Emergency and Preparedness Plan required from all eligible transit agencies within a UASI region?**

All eligible transit agencies must submit both the transit system risk assessment and the Security Emergency and Preparedness Plan to the State Administrative Agency.

**27. Do the ISIP and 4 BSIR reports have to be completed per current requirements?**

No ISIP is required under the FY 2005 Transit Security Grant Program. The first Biannual Strategy Implementation Report (BSIR) is due by January 31, 2006. See page 34 and Appendix G of the FY 2005 TSGP application kit for additional guidance.

**28. Will the New Jersey State Administrative Agency have a role with the New York State Administrative Agency? The State Administrative Agency (SAA) for the tri-state area is New York, what level of collaboration should NJ expect to provide and receive?**

The Regional Transit Security Working Group should have representation from and a consensus from all participating SAAs as to funding and strategy development decisions. Please refer to Section III, Program and Application Requirements, Paragraph D, General Application Requirements, subparagraph 7, Certification Regarding Regional Consensus on Funding, which states “. . . the applicable SAAs must approve the allocation”. This means the SAA for each identified area, and therefore with respect to this question, the SAA representing the States of New York, New Jersey, and Connecticut.

**29. When will funds be available for agencies to drawdown?**

The State Administrative Agency must obligate at least 97% of the funds awarded to designated transit systems within 60 days of the receipt of funds. For purposes on the FY 05 Transit Security Grant Program, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).

**30. What four factors were incorporated into the Rail Transit Systems grant formula?**

The formula for rail transit included the following factors: ridership, track miles, number of stations, and threat. See Paragraph B on page 2 of the application kit for additional guidance.



**31. Currently, the Urban Area Working Group uses a voting process among its members. Will this process be acceptable for use in the Regional Transit Security Working Group?**

The method for arriving at a consensus within the Regional Transit Security Working Group is left up to the individual Regional Transit Security Working Group, as long as there is an adequate representation of the regional entities within the region.

**32. What does “PPD” stand for?**

PPD is an acronym for the Preparedness Program Division of the Office of State and Local Government Coordination and Preparedness.

**33. Can State Administrative Agencies transfer portions of their M&A allocation to Transit agencies?**

A maximum of 3% may be retained by the State Administrative Agency for administrative costs. The SAA may choose to keep some, all, or none of this amount. Any amount up to 3% not retained by the state for M&A costs must be passed through to eligible local transit systems. Eligible transit systems may use up to 2.5% of these sub-allocations for M&A costs. M&A costs are approved at 3% of the total award to the state and 2.5% of the sub-award for local transit systems.