

**Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Standards for ISAOs**

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/documents/19/18243/SAM_New_Grantee_Registration.pdf/8bf1c182-8d35-47e0-99e2-a263fa3d9005

A. Notice of Funding Opportunity (NOFO) Description

Issued By

U.S. Department of Homeland Security (DHS),
Office of Cybersecurity & Communications (CS&C)

Catalog of Federal Domestic Assistance (CFDA) Number

97.128

CFDA Title

National Cyber Security Awareness

Notice of Funding Opportunity Title

Initiative to Implement Section 3 of Executive Order 13691 “Promoting Private Sector Cybersecurity Information Sharing” of February 13, 2015: Standards for Information Sharing and Analysis Organizations (ISAO).

Short Title/Popular Name: Standards for ISAOs

NOFO Number

DHS-15-NPPD-128-001

Authorizing Authority for Program

Homeland Security Act, National Cybersecurity Protection Act of 2014, Executive Order (EO) 13,636, PPD-21 Executive Order 13691 “Promoting Private Sector Cybersecurity Information Sharing” of February 13, 2015

Appropriation Authority for Program

Department of Homeland Security (DHS) Appropriations Act, P.L. 114-4, Title III, National Protection and Programs Directorate, Infrastructure Protection and Information Security.

Program Type

New

Program Overview, Objectives, and Priorities

For background on this requirement, please refer to the 2015 Presidential Executive Order -- *Promoting Private Sector Cybersecurity Information Sharing*.

<https://www.whitehouse.gov/the-press-office/2015/02/13/executive-order-promoting-private-sector-cybersecurity-information-shari>

On February 13, 2015, President Obama signed Executive Order (EO)13691, which is intended to enable and facilitate “private companies, nonprofit organizations, and executive departments and agencies ...to share information related to cybersecurity risks and incidents and collaborate to respond in as close to real time as possible.”

As specified in the Quadrennial Homeland Security Review, this program addresses one of the five basic missions of DHS, “Safeguard and Secure Cyberspace.” In furtherance of this mission, this program is intended to strengthen the security and resilience of critical infrastructure, advance incident response and reporting capabilities, and overall, strengthen the cybersecurity ecosystem through enhanced cybersecurity information sharing and maturation of information sharing and analysis organizations.

The EO addresses several concerns the private sector has raised:

- If a company wants to join an Information Sharing and Analysis Centers (ISACs) or other information sharing organization, how does it readily assess the capabilities and effectiveness of that organization both to provide valuable information and to be a trustworthy steward of information provided to it by the

company? Lacking consistent baseline standards or evaluation criteria for ISAOs, companies may incur significant transaction costs that serve as a barrier to joining ISACs or other information sharing organizations.

- How can companies share information if they do not fit neatly into the sector-based structure of the existing ISACs?
- If a group of companies wants to start an information sharing organization, what model should they follow? What are the best practices for such an organization?

To this end, the EO directs the Secretary of Homeland Security to:

- Encourage the development and formation of Information Sharing and Analysis Organizations (ISAOs),
- Enter into an agreement with a nongovernmental organization (standards organization) to identify a common set of voluntary standards for the creation and functioning of ISAOs. The standards will address the baseline capabilities that ISAOs under this order should possess and be able to demonstrate if they self-certify as an ISAO.

To fulfill this requirement DHS will select a standards organization (SO) through an open and competitive process and enter into a cooperative agreement. The SO will create standards to assist in the widespread establishment of ISAOs and the mechanisms by which they function and interact with the government and across the private sector.

The establishment of ISAOs will allow private sector companies and other entities to share cyber threat information with each other on a voluntary basis and, if they so choose, to participate in DHS information sharing programs even if they do not fit into an existing critical infrastructure sector. As an example, ISAOs will accommodate entities who want to collaborate with others in their region rather than with others in their sector. ISAOs will, if they so choose, have the opportunity to participate in existing DHS cybersecurity information sharing programs, including the opportunity to contribute to near-real-time sharing of cyber threat indicators within those programs.

Under the cooperative agreement, that SO will be responsible for developing voluntary standards and guidelines for the creation and functioning of ISAOs, as contemplated under the EO. ISAOs will then self-certify to the standards identified and developed by the SO. The EO states:

The standards shall further the goal of creating robust information sharing related to cybersecurity risks and incidents with ISAOs and among ISAOs to create deeper and broader networks of information sharing nationally, and to foster the development and adoption of automated mechanisms for the sharing of information. The standards will address the baseline capabilities that ISAOs under this order should

possess and be able to demonstrate. These standards shall address, but not be limited to, contractual agreements, business processes, operating procedures, technical means, and privacy protections, such as minimization, for ISAO operation and ISAO member participation.

As the EO envisaged a standards-setting process led by the private sector, DHS will move into the role of assisting the SO to assure:

- 1. The SO is developing a common set of voluntary standards or guidelines for the creation and functioning of ISAOs under this order.**
- 2. All standards are consistent with voluntary international standards when such international standards will advance the objectives of this order, and shall meet the requirements of the National Technology Transfer and Advancement Act of 1995.**
- 3. The SO engages in an open, public review and comment process for the development of the referenced standards soliciting the viewpoints of existing entities engaged in sharing information related to cybersecurity risks and incidents, owners and operators, of critical infrastructure, relevant agencies, and other public and private sector stakeholders.**

The grants officer will oversee the execution of the grant and the performance of grant execution based on input from the DHS CS&C program office, discussion with the awardee, and Program Performance Reporting Requirements (found in section F).

Request for Proposals

In fiscal year (FY) 2015, a total of up to \$2,200,000 in federal funding is available for eligible organizations to serve as the ISAO SO, and up to \$11,000,000 over a five year period of performance to lead the identification, development and implementation of voluntary standards for ISAOs. (Subject to availability of funds)

Proposals must include the following four elements.

A description of the proposer's background, qualifications, and expertise regarding cybersecurity information sharing and information sharing best practices so as to assure public trust in the proposer's ability to serve as the ISAO SO.

A description of the proposed process for identifying ISAO voluntary standards

- **A description of the proposed activities of the SO that will result in the identification and development of ISAO voluntary standards**

- A description of the process for developing ISAO standards consistent with voluntary international standards, to the extent that such international standards advance the objectives of E.O. 13691 and meet the requirements of the National Technology Transfer and Advancement Act of 1995 (Public Law 104-113), and OMB Circular A-119, as revised.
- An overview of already-existing requirements, best-practices, and standards that may be applicable regarding the identification of ISAO voluntary standards.

A description of proposed outreach and research

- At least four open and transparent coordination engagements with existing ISACs, ISAOs, associations, private companies, and subject matter experts engaged in cybersecurity-related information sharing.
- Public notice of all meetings and the establishment of an open public review and comment process for the development of voluntary standards to solicit the viewpoints of existing entities engaged in cybersecurity sharing information and cyber incident management.
- Coordination and engagement with owners, operators and regulators of critical infrastructure, relevant agencies, and other public and private sector stakeholders.
 - Ongoing review, update and publication and related support, as necessary, of ISAO standards and best practices after initial voluntary standards are created. A description of the proposed plan to provide technical support and assist perspective ISAOs to implement standards and assure quality of conformance after the voluntary standards are developed.

A description of the proposed plan to assess the progress and challenges of ISAOs in implementing voluntary standards, in order to assist ISAOs to overcome those challenges.

- Effective methods to continuously inform the public about opportunities to become an ISAO across the 50 States and US territories.

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the NOFO: Up to \$2, 200,000 per year per award, and up to 11,000,000 over 5 years. (Subject to the availability of funds)

Projected number of Awards: 1 (one) award.

Period of Performance: Up to 60 months.

Any period over 60 months is an “extension.” Extensions to the period of performance are allowable. Please refer to Section H. Additional Information – Extension, for more information regarding what steps recipients must follow and what information must be included in the justification for such request to be considered.

Projected Period of Performance Start Date(s): *08/10/2015*
Projected Period of Performance End Date(s): *07/30/2020*
First Budget Period Dates: *08/10/2015 – 07/30/2016*

Funding Instrument: Discretionary – Competitive - Cooperative Agreement

DHS will exercise substantial programmatic involvement through this cooperative agreement. This includes monitoring project progress; providing technical assistance; disapproving and approving sub-projects, work plans or modifications thereto; holding kickoff meetings; conducting biennial reviews; conducting programmatic reviews; coordinating standards development activities; and coordinating self-certification activities. In addition, coordination/consultation through DHS with other relevant federal departments and agencies is required.

The grants officer will oversee the execution of the grant and the overall performance of the awardee from an administrative and financial perspective.

C. Eligibility Information

Eligible Applicants

For-profit organizations other than small businesses
Nonprofits with 501(c) (3) IRS status, other than institution of higher education
Nonprofits without 501(c) (3) IRS status, other than institution of higher education
Private institutions of higher education
Public and State controlled institutions of higher education
Small businesses

Eligibility Criteria

To be eligible for this program, must meet the below requirements.

1. Applicants must not be a Government organization. Pursuant to EO 13691, “Promoting Private Sector Cybersecurity Information Sharing” of February 13, 2015, the standards organization selected must be non-governmental to be eligible. DHS has interpreted this restriction to

exclude federal, state, local, territorial, tribal, and foreign governmental entities from making a proposal for this announcement.

2. At the time of application, applicants that propose to become the SO must have at least three years of experience developing cybersecurity best practices for Government or private sector organizations.
3. Applicants must have three years of experience conducting a participatory standards development process, or have demonstrated serving as a standards adjudication and validation organization.
4. Applicants must have deep knowledge of the National Infrastructure Protection Plan, Executive Order 13636, Executive Order 13691, and PPD-21.
 - a. FFRDCs or laboratories funded by federal agencies may not apply.
 - b. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation, regulations, and DHS policies.
 - c. FFRDC employees are not eligible to serve in a principal leadership role on a grant or cooperative agreement, and may not receive salaries or in other ways augment their agency's appropriations through awards made by this program.
5. Applicant must be able to stand-up a functioning SO and host the first listening session/workshop with private sector stakeholders within 45 days of award.
6. National laboratory employees may participate in planning, conducting, and analyzing the activities directed by the standards organization applicant, but may not direct projects on behalf of the applicant organization.
7. The standards organization may provide funds through its assistance agreement with DHS to an FFRDC for project-specific, non-federal research personnel, supplies, equipment, facilities, data, and other expenses directly related to activities under this cooperative agreement.
8. Federal agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on a grant or cooperative agreement, and may not receive salaries or in other ways augment their agency's appropriations through awards made by this program.
 - a. Nonetheless, federal employees may interact substantively with awardees in the form of cooperation.
 - b. Cooperation involves consulting on the planning, management, and coordination of standards organization and/or information

sharing and analysis organization activities, sharing or comparing information, indicators, samples, equipment, facilities, data, models, or other support during the conduct of the standards development and related activities in which the interaction is substantial and requires the award of a cooperative agreement, rather than a grant.

- c. Substantial involvement occurs when the collaboration or cooperation of a federal employee or facility is necessary to achieving the overall goals of the activities supported by this cooperative agreement.

Other Eligibility Criteria

DHS will not consider applications that do not adhere to one or more of the following requirements:

1. **Deadlines.** DHS will not accept late applications. Without exception, applications must be received by Grants.gov on or before the deadline in this announcement or they will not be considered.
2. **Application relevance.** Applications that do not address the purpose of this announcement will not be considered.
3. **Compliance and completeness.** Applications must substantially comply with the application submission instructions and requirements in this announcement or they will not be considered.
4. **Funding limits.** Applications exceeding the funding limits will not be considered.
5. **Proof of non-profit status.** Non-profit applicants and any proposed sub-awardee of a non-profit must provide documentation of non-profit and/or public status. This requirement does not apply to for-profit applicants. Any of the following constitutes acceptable proof of non-profit status:
 - A reference to the applicant organization's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in section 501(c)(3) of the IRS Code.
 - A copy of a currently valid IRS tax exemption certificate.
 - A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.

- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.
- Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.
- A signed statement on official letterhead by an official authorized to apply for grant funds on behalf of the public entity shall suffice.

In addition, DHS will not consider **multiple applications** from a single organization serving as the lead. If more than one application is submitted by a single organization as the lead, the later in time will be considered, unless the later application clearly indicates a unique role for that organization, other than as lead for this activity.

Non-Responsive Applications

Your application will be rejected if:

1. Form SF-424 – Application for Federal Assistance is missing.
2. Form SF-424A – Budget is missing.
3. Form SF-424B – Assurances - Non-Construction Programs is missing.
4. The applicant's Authorized Organization Representative (AOR) is not registered with the System for Award Management (SAM).
5. The application does not include a Budget Narrative.
6. The application does not include a Project Abstract.
7. The Project Narrative is missing.

Maintenance of Effort

There is no maintenance of effort requirement for this program. Requests for funds under this announcement shall not be used to take the place of activities described in the application that are currently supported with other funding. Also, grant funds shall not be used to support activities that are a normal part of the organization's operations.

Cost Share or Match

There is no cost share or match requirement for this program.

D. Application and Submission Information

Submission Dates and Other Key Dates and Times

NOFO Posted to Grants.gov: 05/26/2015 06:00:00 PM EST
Letter of Intent: 06/15/2015
Application Submission Deadline: 07/17/2015 11:59:59 PM EST
Daylight savings time
Anticipated Funding Selection Date: 07/31/2015
Anticipated Award Date: 08/10/2015

NOTE: The application must be received in Grants.gov by the date and time listed above. If an application is received after the deadline, it will not be considered. Applicants will receive a confirmation from Grants.gov once the application is successfully submitted.

All applications are time stamped by the Grants.gov system when submitted and recipients are notified accordingly. The federal office will download all applications that are received by the deadline date and time as indicated on the NOFO.

Other Key Dates

Event	Suggested Deadline For Completion
Obtaining DUNS Number	06/15/2015
Obtaining a valid EIN	06/15/2015
Updating SAM registration	06/15/2015

Letter of Intent

The letter of intent should be emailed to the Grants Officer no later than 06/15/2015. The letter should be in the body of the email and not an attachment. It should state intent to apply for this opportunity and contain the name of your entity, contact information, legal business or non-profit status. In the subject line of email please state the following: Letter of Intent for NOFO Number **DHS-15-NPPD-128-001**

Email to:
Tamara Marshall-Jones

Tamara.Marshall-Jone@hq.dhs.gov

Address to Request Application Package

Applications will be processed through the Grants.gov portal. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants,” read the registration requirements and register if necessary (**Allow up to four weeks after you submit before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information**). In order to obtain the application package select “Download a Grant Application Package.” Enter the 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.

Grant Application Package - Enter the 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.

Applications will be processed through the Grants.gov portal. If you experience difficulties accessing information or have any questions, please call Grants.gov customer support at 1-800-518-4726.

The Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Announcement is: 1-800-518-4726 (Grants.gov Help Desk).

To request a hardcopy of the full NOFO, please email or fax a request to:

Tamara Marshall-Jones
Grants Officer
Tamara.Marshall-Jone@hq.dhs.gov
Phone: 202-447-0177

Content and Form of Application Submission

Content and Form of Application Submission

Applicants must submit all required forms and required documents listed in this section. See the Grants.gov [Applicant User Guide](#) for instructions on how to attach forms and documents. Applicant should ensure that the final submitted application package includes all required forms and documents. Applicants should avoid the use of special characters in attachment file names.

REQUIRED FORMS

Complete the required forms in accordance with the application instructions on Grants.gov. If submitting any information that is deemed proprietary, privileged or confidential commercial or financial, please denote the beginning and ending of such information with asterisks (***)).

1. Form SF-424 – Application for Federal Assistance

This form must be completed within the application package on Grants.gov. You must download and install Adobe Reader in order to view this form. Applicants are only required to complete fields which are highlighted.

2. Form SF-424A – Budget

This form must be completed within the application package on Grants.gov. You must download and install Adobe Reader in order to view this form. Applicants are only required to complete fields which are highlighted. Provide budget amounts by object class (personnel, fringe benefits, travel, etc.). Include all five years of budget amounts in Section E. Funds may be requested as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions.

3. Certifications/Assurances

These forms must be completed within the application package on Grants.gov. You must download and install Adobe Reader in order to view these forms. Applicants must submit:

- a. **Form SF-424B – Assurances – Non-Construction Programs;** and
- b. **Certification Regarding Lobbying.** If paragraph two of the certification applies, then complete and submit the SF-LLL Disclosure of Lobbying which is provided as an optional form in the application package.

By signing and submitting an application under this announcement, the applicant is providing: Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions; and Certification that the applicant is not delinquent on any federal debt.

REQUIRED DOCUMENTS

Project Information

a. Project Abstract (3 single-spaced page maximum)

Provide the information below in a separate document, suitable for public dissemination. The project abstract must not include any proprietary/confidential information. Attach the Project Abstract to the application package.¹

General Information	
1.	Organization legal name
2.	Organization legal address (Number and street, city, state, zip code)
3.	Head of the organization (Name, title, address, phone number, email address)
4.	Authorized official , the person at the organization authorized to sign to receive award (Name, title, address, phone number, email address)
5.	Grant project manager , the person who will manage the operations of the grant project and will serve as project manager primary point of contact (Name, title, address, phone number, email address)
6.	Type of organization (e.g., non-profit, small business, private, public and state controlled institutions of higher education, etc.)
7.	Project description (200 words or less) Provide a brief summary of the following: <ul style="list-style-type: none">• The organization’s experience developing cybersecurity standards or best practices and number of years providing services;• A description of the specific cybersecurity subject area to include work with the private sector and Government cybersecurity programs.• Proposed grant project activities and outcomes.
8.	Total federal funding requested (Up to \$11,000,000)
9.	Congressional district (based on the legal address of the applicant organization)
10.	Number of full-time equivalents (FTEs) Indicate the number of intended grant- funded FTEs. Include part-time work as percentages of FTEs. Include any grant-funded sub-awardee FTEs.

¹ See the Grants.gov Applicant User Guide for instructions on how to attach forms and documents. The “Attachment” Section begins on page 88 of the [Applicant User Guide](#).

Tips: Write for a general audience and avoid use of scientific/technical jargon to the extent possible. Please define any technical terminology that is discipline-specific and include a list of any acronyms used. Be concise and direct in descriptions.

4. Project Narrative (30 double-spaced page maximum)

Provide a response for each item in the chart below following the order listed. Items 5.a. c. below are the **mandatory headings** that must be included in the Project Narrative. An application that is missing one or more of the three required headings will be deemed **non-responsive** and will not be reviewed. The items and attachments listed in each section are required, and any item or attachment that is omitted will result in points deducted.

Format Requirements

- **You must follow the order specified below, using the required three headings:**
 - a. ISAO Voluntary Standard Development
 - b. Management and Outreach
 - c. Standards Organization Operations
- Include the title “Project Narrative” at the top of the first page.
- Ensure that the application can be printed on 8 ½” x 11” single-sided paper.
- Use double-spacing.
- Font size must be at least 12 point, preferably Times New Roman font.
- Margins must be at least one (1) inch at the top, bottom, left and right of the paper.
- Project narrative pages must be numbered “1” of “XX.”
- Pages should be numbered consecutively and are limited to a total of **30 pages**.
- Do not include any marks from the “Track Changes” tool in your word processing program.
- Attach the completed Project Narrative to the application package.

Project Narrative Items
a. ISAO Voluntary Standards Development (18 page max)
Experience and Expertise
<p><i>Describe:</i></p> <ul style="list-style-type: none"> • Your non-governmental organization, leadership and management, and the organization’s experience/ ability to engage and work across the broad community of organizations engaged in sharing information related to cybersecurity risks and incidents, including ISACs, ISAOs, associations, private companies, and subject matter experts engaged in information sharing in support of their customers. • Your organization’s experience in the identification, development, or implementation of cybersecurity best practices and/or cybersecurity standards. Indicate dates, total years of experience, the community served and relevant outcome of your activities. • Describe your experience in the development of standards in a participatory environment, your experience in conducting standards implementation or adjudication, or any other experience in the development, maintenance, or implementation of formal standards in order to assure public trust in the proposer’s ability to serve as the ISAO SO. • Describe your background with cybersecurity-related information sharing, cybersecurity and standards/best practice development that will assure public trust in the proposer’s ability to serve as the ISAO SO.
Plan to Develop Standards

Propose a plan to establish voluntary standards or guidelines for the creation and functioning of ISAOs under the EO, including a description of how:

Such standards or guidelines shall:

1. further the goal of creating robust information sharing related to cybersecurity risks and incidents with ISAOs and among ISAOs to create deeper and broader networks of information sharing nationally;
2. foster the development and adoption of automated mechanisms for the sharing of information, including STIX and TAXII;
3. articulate baseline capabilities that ISAOs should possess and be able to demonstrate, including consideration of the NIST Cybersecurity Framework;
4. address ISAO operation and ISAO member participation factors including, but not be limited to, contractual agreements, business processes, operating procedures, technical means, and privacy protections, such as minimization;
5. be consistent with voluntary international standards when such international standards will advance the objectives of this order; and meet the requirements of the National Technology Transfer and Advancement Act of 1995 (Public Law 104-113), and OMB Circular A-119, as revised.

b. Management and Outreach (7 page max)

Please describe:

- The proposed operations of the SO that effectively and efficiently identify voluntary standards for ISAOs under EO 13691.
- Plan to provide technical support to assist prospective ISAOs to implement standards and assure quality of conformance after the voluntary standards are developed.
- Plan to assure open and transparent coordination engagements with existing ISACs, ISAOs, academia, associations and private companies engaged in information sharing supporting their customers.
- Coordination and engagement with owners and operators and regulators of critical infrastructure, relevant agencies, and other public and private sector stakeholders.
- Public notice of all meetings and the establishment of an open public review and comment process for the development of voluntary standards to solicit the viewpoints of existing entities engaged in cybersecurity sharing information and cyber incident management.
- Ongoing review and publishing of best practices for ISAOs after voluntary standards are created.
- Plan to measure progress of ISAOs and challenges implementing voluntary standards that will inform the creation of written best practices / guidance assisting ISAOs to overcome those challenges.
- Effective methods to continuously inform the public about opportunities to become an ISAO across the 50 States and US territories.

c. Standards Organization Operation (5 page max)

Please Describe:

- An overview of already-existing requirements, best-practices, and standards that may be applicable regarding the identification of ISAO voluntary standards.
- Existing or previously employed standards development, adjudication, or implementation infrastructure such as writing teams, certification committees, information collection and sharing tools, auditing procedures, adjudication handbooks, or other applicable materials.
- Plan to provide technical support to assist perspective ISAOs to implement standards and assure quality of conformance after the voluntary standards are

• Plan to provide technical support to assist perspective ISAOs to implement standards and assure quality of conformance after the voluntary standards are developed.

• Plan to measure progress of ISAOs and challenges related to the implementation of voluntary standards, in order to inform the assist ISAOs to overcome those challenges.

PERSONNEL

- Describe **the staffing structure** for the proposed standards organization. Provide a list of key personnel for the program. Key personnel include the grant project manager(s) and subject matter expert(s).
- For each person, provide the following information, preferably in a table format:
 - ✓ Name, or indicate if the position is vacant. If the position is vacant, provide a separate position description and target start date;
 - ✓ Title and brief position description;
 - ✓ Whether the position is paid or volunteer;
 - ✓ FTE charged to the grant; and
 - ✓ Relevant experience, qualifications and training. *Each staff member, whether a volunteer or paid, must have at least two year of cybersecurity experience in an operations or administrative role.*

Sample Staff Table

Name	Title and Position Description	Paid or Volunteer	FTE charged to grant	Relevant experience, qualifications and training
Jim Smith	Cybersecurity Program Manager – provides SO operations management	Paid	0.3 FTE	Accredited for 5 years, 3 years of experience with naturalization application services

Other Project Information

Applicants must complete the “Other Project Information” Items 1-6 on the form which include information regarding use of proprietary information, environmental impacts, historic place designation, international collaborators, etc.

Budget Narrative (Double-spaced, no page limit)

Attach your budget narrative to the application package.

Include costs for the each of five performance years. Separate the first performance year costs and each following performance year’s costs. Show a total of all requested federal grant funds. This total should match the total listed on the project abstract. Budget categories **b – i** below should add up to this total.

Provide budget information in the order listed below. Budget detail is required for:

- a. **Personnel**: Costs of employee salaries and wages. For each staff person, provide the name (if known), title, time commitment to the project as a percentage of a full-time equivalent (FTE), annual salary, and grant funded salary. Do not include the costs of consultants. Consultants are to be included under “Contractual.”
- b. **Fringe Benefits**: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate. Provide the method used to calculate the proposed rate amount. If a fringe benefit has been negotiated with, or approved by, a cognizant federal agency, **attach a copy of the negotiated fringe benefit agreement**. If no rate agreement exists, provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc. Identify the base for allocating these fringe benefit expenses. (Attach the agreement to the application package.)
- c. **Travel**: Costs of project-related travel by employees of the applicant organization (do not include costs of sub-contractor or consultant travel). For each proposed trip, provide the purpose, number of travelers, travel origin and destination, number of days, and a breakdown of costs for airfare, lodging, meals, car rental, and incidentals. The basis for the airfare, lodging, meals, car rental, and incidentals must be provided, such as past trips, current quotations, Federal Travel Regulations, etc. Foreign travel is not permitted. The applicant must include costs for two staff members to attend a **mandatory** two-day grant recipient orientation training in Washington, D.C. the first year of the grant, and costs for one staff member to attend mandatory two-day training in Washington, D.C. the second through 5th year of the grant.
- d. **Equipment**: Any article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization for financial statement purposes, or (b) \$500. For each type of equipment requested, provide a description of the equipment, the cost per unit, the number of units, the total cost, and a plan for use on the project, as well as use or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy or section of its policy which includes the equipment definition.

NOTE 1: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, calibration and maintenance services, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation shall be included in

or excluded from acquisition cost in accordance with the organization's regular written accounting practices.

NOTE 2: Prior to the purchase of equipment in the amount of \$500 or more per unit cost, the Recipient must obtain the written approval from DHS. The Recipient shall maintain an annual inventory, which will include a brief description of the item, serial number and amount of purchase for equipment purchased with grant funds, or received under a grant, and having a \$500 or more per unit cost. The inventory must also identify the sub-award under which the equipment was purchased. Maintenance and insurance will be the responsibility of the Recipient. Title of equipment will remain with the Recipient until closeout when disposition will be provided in writing by DHS within 120 days of submission of final reports.

- e. **Supplies:** Costs of all tangible personal property other than that included in the equipment category. Specify general categories of supplies and their costs. Show computations and provide other information which supports the amount requested.
- f. **Contractual:** Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc. Include third party evaluation contracts (if applicable) and contracts with secondary recipient organizations.

Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Identify proposed sub-contractor work and the cost of each sub-contractor. Provide a detailed budget for each sub-contractor that is expected to perform work estimated to be \$25,000 or more, or 50% of the total work effort, whichever is less.

- Identify each planned subcontractor and its total proposed budget. Each subcontractor's budget and supporting detail should be included as part of the applicant's budget narrative.
- Provide the following information for each planned subcontract: a brief description of the work to be subcontracted; the number of quotes solicited and received, if applicable; the cost or price analysis performed by the applicant; names and addresses of the subcontractors tentatively selected and the basis for their selection; e.g., unique capabilities (for sole source subcontracts), low bidder, delivery schedule, technical competence; type of contract and estimated cost and fee or profit; and, affiliation with the applicant, if any.
- Recipient may be required to make pre-award review and procurement documents available to DHS, including request for proposals or invitations for

bids, independent cost estimates, etc. This may include procurements expected to exceed the simplified acquisition threshold fixed at 41 USC 403(11) (currently set at \$100,000) and expected to be awarded without competition or only one bid or offer is received in response to a solicitation.

- All required flow down provisions in the award must be included in any subcontract.

NOTE: Applicants may propose a sub-contract for specific tasks, such as hiring additional subject matter experts on a contractual basis. However, the applicant must demonstrate its ability to successfully manage all aspects of the grant-funded project, including financial management.

- g. **Other Direct Costs:** Any other items proposed as direct costs. Provide an itemized list with costs, and state the basis for each proposed item.
- h. **Indirect Costs:** **Attach a copy of the latest indirect cost rate agreement** negotiated with a cognizant federal agency. If the applicant is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the award. If the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

Any non-federal entity that has never received a negotiated indirect cost rate (except for those non-federal entities described in [Appendix VII to Part 200](#) States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph D.1.b) may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. As described in [§200.403](#) Factors Affecting Allowability of Costs, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all federal awards until such time as a non-federal entity chooses to negotiate for a rate, which the non-federal entity may apply to do at any time. For more information, see [2 CFR Part 200.414](#).

5. Documentation of Non-profit and/or Public Status

The applicant must provide documentation of non-profit and/or public status. Any of the following constitutes acceptable proof of non-profit status:

- A reference to the applicant organization's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in section 501(c)(3) of the IRS Code.
- A copy of a currently valid IRS tax exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.
- Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.
- A signed statement on official letterhead by an official authorized to apply for grant funds on behalf of the public entity shall suffice.

Attach documentation of non-profit and/or public status to the application package.

Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR)

DHS is participating in the Grants.gov Initiative that provides the Grant Community a single site to find and apply for grant funding opportunities; therefore, applicants with electronic access are to submit their applications electronically through <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>. Before you can apply for a DHS grant at grants.gov, you must have a DUNS number and must be registered in the System for Awards Management (SAM).

The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

System for Award Management

In addition to having a DUNS number, applicants applying electronically through Grants.gov must register with the federal System for Award Management (SAM). Step-by-step instructions for registering with SAM can be found here: <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Failure to

register with the SAM will result in your application being rejected by Grants.gov during the submissions process.

Please give yourself plenty of time before your grant application submission deadline to obtain a DUNS number and then to register 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.

Authorized Organizational Representative

The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on Grants.gov visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

AOR Authorization

After creating a profile on Grants.gov, the E-Biz Point of Contact (E-Biz POC) a representative from your organization who is the contact listed for SAM will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approves an applicant as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Applicants are, therefore, encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines. After you have been approved as an AOR you will be able to submit your application online.

Electronic Signature

Applications submitted through Grants.gov constitute a submission as electronically signed applications. The registration and account creation with Grants.gov with E-Biz POC approval, establishes an Authorized Organization Representative (AOR). When

you submit the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the Authorized Organization Representative (AOR); this step is often missed and it is crucial for valid submissions.

If you experience difficulties accessing information or have any questions please call the grants.gov customer support hotline at (800) 518-4726 or email [grants.gov](mailto:grants.gov@support@grants.gov) at support@grants.gov.

The Federal awarding agency 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 the Federal awarding agency is ready to make a Federal award, the Federal awarding agency 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.

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 <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at http://www.whitehouse.gov/omb/grants_spo to ensure currency.

Funding Restrictions

Restrictions on Use of Award Funds

As well as any funding restrictions stated in the Budget Narrative section or any section within this document, the following are restrictions on use of award funds:

1. DHS cooperative agreement funds may only be used for the purpose set forth in the cooperative agreement, and must be consistent with the statutory authority for the award. Cooperative agreement funds and non-monetary support may not be used for matching contributions for other federal grants or cooperative agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. In addition, federal funds may not be used to sue the Federal Government or any other government entity.

DHS substantial programmatic involvement and performance/progress reviews may result in funding restrictions in conjunction with initial and annual continuation awards.

Management and Administration (M&A)

M&A is allowable by the primary recipient, if applicable.

Indirect (Facilities & Administrative (F&A) Costs

Indirect Costs are allowable for the grantee and any proposed sub-awardee (if applicable). The applicant must attach a copy of the latest indirect cost rate agreement negotiated with a cognizant federal agency. If the applicant is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the award. If the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

Any non-Federal entity that has never received a negotiated indirect cost rate (except for those non-federal entities described in Appendix VII to Part 200 States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph D.1.b) may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. As described in §200.403 Factors Affecting Allowability of Costs, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all federal awards until such time as a non-federal entity chooses to negotiate for a rate, which the non-federal entity may apply to do at any time. For more information, see 2 CFR Part 200.414.

Other Submission Requirements

To access application forms and instructions for this funding opportunity, go to Grants.gov click on the "Search Grants" tab. Enter the FOA Number located on the cover of this announcement. Click on the highlighted Funding Opportunity # that appears and then click on the various tabs to: read the Synopsis; review the Version History; read the Full Announcement; and, complete the Application Package. Please read the entire FOA Application Package carefully before preparing and submitting an application. Application must be submitted in electronic format only.

If you experience difficulties accessing information or have any questions please call the grants.gov customer support hotline at (800) 518-4726.

E. Application Review Information

Evaluation Criteria

DHS will use the following criteria to evaluate applications deemed eligible and responsive. Applicants can receive up to 100 points.

1. Capacity to Provide Leadership in Identification and Development of Standards (25 Points)

The extent to which the applicant demonstrates:

- a. Background with cybersecurity-related information sharing and the identification, development, and implementation of cybersecurity-related information sharing best practices and standards, in order to assure public trust in the proposer's ability to serve as the ISAO SO (15 points);
- b. Recent and extensive experience providing standards and best practice development generally (10 points);

2. Quality of the Plan for Standards Identification and Development (30 Points)

The extent to which the applicant proposes high quality standards development leadership including:

- a. The proposed operations of the SO that effectively and efficiently produce standards for ISAOs (14 points).
- b. Process for developing ISAO standards consistent with voluntary international standards, to the extent that such international standards advance the objectives of E.O. 13691 and meet the requirements of the National Technology Transfer and Advancement Act of 1995 (Public Law 104-113), and OMB Circular A-119, as revised (8 points).
- c. Qualified and experienced personnel (8 points).

3. Capacity to Provide Wide Outreach (15 Points)

The extent to which the applicant demonstrates:

- a. Ability to deliver transparent coordination engagements with existing ISACs, ISAOs, associations, private companies, and subject matter experts engaged in cybersecurity-related information sharing supporting their customers. (5 points)
- b. Ability to establish an open public review and comment process for the development of voluntary standards to solicit the viewpoints of existing entities engaged in cybersecurity sharing information and cyber incident management. (5 Points).
- c. Ability to coordinate and engage with owners and operators and regulators of critical infrastructure, relevant agencies, and other public and private sector stakeholders. (5 points).

4. Post Standards SO Management (20 Points)

The strategy applicant proposes to manage the SO performance and support to ISAOs in the years following the development of standards.

- a. Plan to provide technical support to assist perspective ISAOs to implement standards and assure quality of conformance after the voluntary standards are developed. (15 points).
- b. Plan to assess the progress and challenges of ISAOs in implementing voluntary standards, in order to assist ISAOs to overcome those challenges. (5 points).

5. Cost Effectiveness and Balance (10 Points)

The extent to which the applicant's proposed budget shows an effective use of grant funds. (10 points)

Review and Selection Process

DHS will conduct an initial review of applications to determine the responsiveness of the application. If an applicant is determined to be ineligible (see Section C. Eligibility Information) or an application is determined to be non-responsive, DHS will notify the applicant. All responsive and eligible applications will be reviewed as described below:

1. DHS will assemble reviewers which may include both federal and non-federal reviewers to review the eligible applications. Reviews of submitted applications will be conducted either on site or by remote review.

2. Technical reviewers will review each eligible application against the evaluation criteria. The reviewers will assign a score and provide summary comments based on the evaluation criteria identified above.
3. An application may be selected for a post-review quality control and possible rescoring if it received significantly diverging scores and comments from reviewers.
4. An internal review panel consisting of DHS staff will review the highest ranked applications and make final funding recommendations. The internal review panel may take applications out of rank order in consideration of strategic program priorities, which are identified below.
5. DHS may perform an additional review of the applicant organization and any and/or its key personnel. This may include reviewing audit reports, publicly available materials and/or government databases and may have a bearing on award outcome. DHS may request additional materials from the applicant as part of this review, including:
 - The summary letter from the applicant's most recent audit report; and
 - Documentation of previous grant award completion that includes the name of the grantor, amount awarded, and whether the grant recipient sufficiently completed the requirements of the grant award (e.g., a final close-out report, certification of grant award completion, etc.)
6. After the technical review and before making final funding decisions, DHS may contact the highest ranking applicants to seek clarification and to negotiate technical and programmatic aspects of the application. If an application includes a sub-awardee, DHS may request to speak with all parties included in the application to ensure sufficient planning and coordination has taken place prior to making an award.
7. **Confidentiality and Conflict of Interest.** Technical and cost proposals submitted under this funding opportunity will be protected from unauthorized disclosure in accordance with applicable laws and regulations. DHS may use one or more support contractors in the logistical processing of proposals. However, funding recommendations and final award decisions are solely the responsibility of DHS personnel.

DHS screens all technical reviewers for potential conflicts of interest. To determine possible conflicts of interest, DHS requires potential reviewers to complete and sign conflicts of interest and nondisclosure forms. DHS will

keep the names of submitting institutions and individuals as well as the substance of the applications confidential except to reviewers and DHS staff involved in the award process. DHS will destroy any unsuccessful applications after three years following the funding decision.

8. DHS strongly discourages, and will not consider, any materials submitted by or on behalf of the applicant (e.g., letters of support) other than those materials specifically requested in this notice of funding opportunity.
9. DHS will notify all applicants electronically of funding decisions. Unfunded applicants may send a written request to the Grants Officer, tamara.marshall-jone@hq.dhs.gov to receive a written summary of comments related to the evaluation criteria, along with the points awarded to the application for each of the evaluation criteria. DHS will send the written summary to the applicant within 60 days of the request. Additional information beyond that described here will not be provided.

Applications will be evaluated relative to the requirements of the funding opportunity announcement. Therefore, interested parties should be aware that evaluators will distinguish between what is required information and rationalizations, “brochuremanship,” or extraneous information. Final consideration will, however, take into consideration additional information submitted that supports claims in proposals for this opportunity.

The Project Narrative evaluation will be conducted based on requirements outlined in Section A. of the funding opportunity announcement and set forth below. Section A provides the minimum requirements that the applicants must be able to meet for their applications to be considered responsive or acceptable.

The applicant has the responsibility to provide information that clearly demonstrates its ability to satisfactorily respond to the requirements of the funding opportunity announcement.

a. Project Participants. Evaluators will assess if qualified participants are included and assess the impact of any additional participants.

b. Need for Assistance. Evaluators will assess the application for thoroughness and completeness documenting the need for assistance, existing capabilities and coordination. Evaluators will focus on innovativeness of approach including ability to meet deliverables.

DHS has developed an Objective Review Plan (ORP). The Objective Review Plan Evaluators will assign ratings for each applicant. The ORP will then meet to develop a group consensus rating for the criteria listed in the NOFO.

The ORP Chairperson will be responsible for incorporating the evaluation into the ORP Report, based on the final consensus ratings assigned by the ORP.

The DHS approving official shall review and consider evaluations from departments and agencies to inform the selection process. However, the DHS approving official is not required to develop a consensus government-wide view or to adopt a majority view. No one single factor or a single review is dispositive; rather, the totality of the information is to be considered by the approving official in his/her discretion.

NOTE: There is no cost share or match requirement for this program, therefore an applicant's proposed cost sharing will not be considered in the review process.

F. Federal Award Administration Information

Notice of Award

DHS issues formal award notification documents following fulfillment of DHS Congressional notifications. All DHS grants and cooperative agreements are subject to the standard DHS Award Terms and Conditions, which are attached to this package.

A grant award will be executed by a DHS Grants Officer authorized to obligate DHS funding. Unsuccessful applicants will be contacted as well and will be encouraged to apply for future grant award programs. Announcements for future programs will be listed at <http://www.grants.gov>.

Administrative and National Policy Requirements

A complete list of Federal Financial Requirements is available at: http://www.whitehouse.gov/omb/grants_forms.

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at:

<http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>

Before accepting the award the authorized official should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal Awards. Recipients must accept all

conditions in this NOFO as well as any Special Terms and Conditions in the Notice of Award to receive an award under this program.

Acceptance of the award is denoted once first drawdown is a made.

Reporting

Federal Financial Reporting Requirements

The Federal Financial Reporting Form (FFR) is available here:

http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf,
SF-425 OMB #00348-0061

- 1. Quarterly Federal Financial Reports.** The Recipient shall submit a Federal Financial Report (SF425) to the DHS Grants Officer no later than 30 days after the end of each quarter. Reports are due October 30, January 31, April 30, and July 31. The report shall be emailed to DHS-GrantReports@hq.dhs.gov and include the grant program name and number in the subject line.
- 2. Final Federal Financial Report.** The Recipient shall submit the final Federal Financial Report (SF425) to the DHS Grants Officer no later than 90 days after the end of the Project Period end date. The report shall be emailed to DHS-GrantReports@hq.dhs.gov and include the grant program name and number in the subject line.
- 3. Quarterly Federal Financial Reports (Cash Transaction).** The Recipient shall submit the Federal Financial Report (SF425) Cash Transaction Report to the Department of Health and Human Services, Payment Management System. Quarterly Cash Transaction reports shall be submitted no later than 1/30, 4/30, 7/30, and 10/30.

The Recipient shall be paid in advance using the U.S. Department of Health and Human Services/Payment Management System, provided it maintains or demonstrates the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of the funds from the DHS and expenditure disbursement by the Recipient.

When these requirements are not met, the Recipient will be required to be on a reimbursement for costs incurred method.

Any overpayment of funds must be coordinated with the U.S. Department of Health and Human Services/Payment Management System.

Program Performance Reporting Requirements

The recipient is required to submit the following performance reports:

1. Quarterly Performance Reports must be submitted to the DHS Grants Officer no later than 30 days after the end of each quarter. Reports are due October 30, January 31, April 30, and July 31. Reports shall be submitted via email to DHS-GrantReports@hq.dhs.gov (include the DHS grant number in the subject line of the email) and to ISAO@hq.dhs.gov.

Performance reports must provide information on the overall progress of the SO. These reports shall also include:

- i. Summary reports on the SO's strategic vision and activities; SO management efforts; performance reports on each funded SO project, along with explanations of any changes from the initially approved work plan, discussion of progress for each milestone and explanations of why milestones were not reached, the performance metrics used; budget expenditures and changes; unanticipated problems and plans for addressing them; and information on how project outcomes will advance or impact current technologies or capabilities.
- ii. Budget information categorized by both object class and project.
- iii. If applicable, include a certification that no patentable inventions were created during the budget period.
- iv. Updates to the SO's Information Protection Plan and Researcher Safety Plan as needed.

If the performance report contains any information that is deemed proprietary, the Recipient will denote the beginning and ending of such information with the following heading: *****PROPRIETARY INFORMATION*****

2. Final Performance Report. The Recipient shall submit the Final Performance Report to the DHS Grants Officer no later than 90 days after the expiration of the Project Period (See Section I). The Final Performance Report must include an executive summary and final summary abstracts for each sub-project shall be emailed to DHS-GrantReports@hq.dhs.gov (include the grant program name and number in the subject line) and to ISAO@hq.dhs.gov.

Monitoring

DHS, through its authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems and to provide such technical assistance as may be required. During site visits, DHS will review grant recipients' files related to the grant-funded program.

As part of any monitoring and program evaluation activities, grant recipients must permit DHS, upon reasonable notice, to review grant-related records and to interview the organization's staff and clients regarding the program, and to respond in a timely and accurate manner to DHS requests for information relating to their grant program.

Close Out

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, recipients 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.

If applicable, an inventory of all construction projects that used funds from this program has to be reported using the Real Property Status Report (Standard Form SF 429) available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf.

After these reports have been reviewed and approved by CS&C, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR.

The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial records.

G. DHS Awarding Agency Contact Information

The **Grants Officer** is the DHS official that has the full authority to negotiate, administer and execute all terms and conditions of this Award in concurrence with the Program Officer.

Tamara Marshall-Jones
Office of Procurement Operations (MGMT OPO)
Phone: (202) 447-0177
Email: tamara.marshall-jone@hq.dhs.gov

The **Program Officer** is the DHS staff member responsible for monitoring the completion of work and technical performance of the projects or activities described in the Program Narrative Statement.

Mike Echols
Phone: 703-235-5469
Email: michael.echols@dhs.gov

H. Additional Information

1. Extensions

Applicants may request a no-cost extension in order to complete all project activities. The request must be submitted 60 days prior to the expiration of the performance period. Requests for extensions are subject to approval by DHS.

2. Prior Approval

The Recipient shall not, without the prior written approval of the DHS, request reimbursement, incur costs or obligate funds for any purpose pertaining to the operation of the project, program, or activities prior to the approved Budget Period.

3. Budget Revisions

a. Transfers of funds between direct cost categories in the approved budget when such cumulative transfers among those direct cost categories exceed ten percent of the total budget approved in this Award require prior written approval by the DHS Grants Officer.

b. The Recipient shall obtain prior written approval from the DHS Grants Officer for any budget revision that would result in the need for additional resources/funds.

c. The Recipient is not authorized at any time to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa, without prior written approval of the DHS Grants Officer.

4. Post-award program income

In the event program income becomes available to the recipient post-award, it is the recipient's responsibility to notify the DHS Grants Officer to explain how that development occurred, as part of their request for guidance and/or approval. The Grants Officer will review approval requests for program income on a case-by-case basis; approval is not automatic. Consistent with the policy and processes outlined in 2 C.F.R. Part 200, pertinent guidance and options, as determined by the type of recipient and circumstances involved, may be approved by the Grant Officer. If approval is granted, an award modification will be issued with an explanatory note in the remarks section of the face page concerning guidance and/or options pertaining to the recipient's approved request. All instances of program income shall be listed in the progress and financial reports.

