

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

A. Program Description

Issued By

U.S. Department of Homeland Security (DHS)
National Protections and Programs Directorate (NPPD)
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

Internet Security - Information Sharing and Analysis Organizations (IS-ISAO) Pilot

NOFO Number

DHS-18-NPPD-128-ISAO-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, 2018, P.L. 115-141, Division F, Title III, National Protection and Programs Directorate, Operations and Support.

Program Type

New

Program Overview, Objectives, and Priorities

The Office of Cybersecurity & Communications' (CS&C) Stakeholder Engagement and Cyber Infrastructure Resilience (SECIR) division seeks to award a new cooperative agreement for a pilot titled "Internet Security Information Sharing Analysis Organization" (IS-ISAO) in fiscal year 2018. This agreement supports the National Cyber Security Awareness – Initiative to Implement Section 3 of Executive Order 13691 "Promoting Private Sector Cybersecurity Information Sharing" of February 13, 2015.

For background on Executive Order 13691, 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>

Justification: the nature of the cybersecurity threat to America is growing, and our nation's cyber adversaries move with speed and stealth. To keep pace, all types of organizations, including those beyond traditional critical infrastructure sectors, need to be able to share information and respond to cyber risk in as close to real-time as possible. Organizations engaged in information sharing related to cybersecurity risks and incidents play an invaluable role in the collective cybersecurity of the United States.

The purpose of this financial assistance action is to establish a pilot program to create the Internet Security Information Sharing Analysis Organization (IS-ISAO) to explore and evaluate the most effective methods for bi-lateral cybersecurity information sharing, focusing on regional information sharing, communications and outreach, training and education, research and development for the improvement of State Local Tribal and Territorial (SLTT) government capabilities and capacity. The IS-ISAO will develop the full capability to perform information sharing and analysis of cybersecurity threats, gather, and disseminate government and critical infrastructure information, for the purpose of:

- Cyber threat analysis and information sharing
- Education/training/workforce development
- Technical research and development to support effective information sharing
- Share best practices

IS-ISAO will promote and develop a collaboration with SLTT, higher education, industry, not-for profits, and government outreach. The IS-ISAO will maintain a data center that will allow for the reception of and secure storage of cyber threat information and artifacts, analysis programs and platforms, and interconnectivity with Information Sharing and Analysis Centers (ISACs) or other information sharing organizations.

The objectives of the pilot program include:

1. Explore the most effective methods for bi-lateral cybersecurity information sharing, focusing on regional information sharing, communications and outreach,

- training and education, research and development for the improvement of State Local Tribal and Territorial (SLTT) government capabilities and capacity.
2. Establish a fully functional IS-ISAO that can allow real time or near-real time sharing of cyber threat information between IS-ISAO and The National Cybersecurity & Communications Integration Center (NCCIC), within the Office of Cybersecurity and Communications, of the Department of Homeland Security (DHS).
 3. Identify barriers to cyber information sharing in DHS' Automated Information Sharing (AIS) and how do we incentivize State Local Tribal and Territorial (SLTT) to share both with the government and one another to improve the collective defense posture of the nation and key private sector entities?
 4. Develop documentation including design, policies and procedures, CONOPS, and operations manual(s).
 5. Work with academic partners who will utilize the IS-ISAO operation center to provide real world learning environments to improve student skills and identify research opportunities for students and faculty to explore the full spectrum of cyber technology.
 6. Develop hands-on cyber work force development programs in collaboration with academia.

To fulfill this requirement DHS will select an organization through an open and competitive process and enter into a cooperative agreement.

Performance Metrics

Table 1 provides key quarterly performance parameters (KQPP) for measuring the effectiveness of IS-ISAC engagement, recruitment and collaboration during the performance period. Quarterly Performance Metrics 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.

Table 1: Project Key Performance Metrics

Performance Measures/Metrics	Performance Objectives	
Measures	Threshold	Objective
Membership		
Number of New members	10-50	50
Number of Individuals Representing Total Membership	10-50	50
Number of State Government members	5-10	10
Number of Local Government Members	5-10	10

Number of Tribal Members	4-6	6
Number of Territorial Members	4-6	6
Number of Fusion Members	4-6	6
Number of Other Members	4-6	6
Average monthly growth rate	1-2%	2%
Stakeholder Engagement	Membership	Membership
Number of outreach (conference or event) presentations	2-4	4
Number of cybersecurity tool training events	1-2	2
Number of Analyst to Analyst Membership Exchanges	2-4	4
Number of Membership Online Teleconference Calls	2-4	4
Number of Situational Awareness Room Events	1-2	2
Attendance at Analyst to Analyst Exchange	45-85%	50%
Attendance at Membership Online Conferences	45-85%	50%
IS-ISAC Product Satisfaction	75%-100%	90%
IS-ISAC Services Satisfaction	75%-100%	90%
IS-ISAC Customer Service Satisfaction	75%-100%	90%

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the NOFO:
\$3,000,000

Projected Number of Awards (Optional):

1 (one) award

Period of Performance:

12 months

Extensions to the Performance Period may be awarded but are not guaranteed. Extensions approvals will be based on the availability of funds within the award and acceptable performance.

Projected Period of Performance Start Date(s):

October 1, 2018

Projected Period of Performance End Date(s):

September 30, 2019

Funding Instrument

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.

C. Eligibility Information**Eligible Applicants**

For-profit organizations other than small businesses

Nonprofits with 501(c)(3) IRS status, other than institutions of higher education

Nonprofits without 501(c)(3) IRS status, other than institutions of higher education

Private institutions of higher education

Public & 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 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 IS-ISAO must have at least three years of experience developing cybersecurity best practices for Government, SLTT or private sector organizations.
3. Applicants must have qualified and experienced to gather, analyze, and disseminate government and critical infrastructure information to SLTT. Recent and extensive experience providing cybersecurity-related information sharing and best practice development generally.
4. Applicants must have three years of experience coordinating engagements with existing ISACs, ISAOs, associations, SLTT, private companies, Federal agencies, and subject matter experts engaged in cybersecurity-related information sharing supporting their customers.
5. Applicants must have three years of experience conducting research and analysis on the most effective methods for bi-lateral cybersecurity information sharing in the SLTT community
6. 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.

7. Applicant must be able to stand-up a functioning IS-ISAO.
8. 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.
9. The IS-ISAO 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.
10. 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.

Maintenance of Effort (MOE)

Maintenance of Effort is not required

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

D. Application and Submission Information

Key Dates and Times

Application Start Date:

August 22, 2018

Application Submission Deadline:

09/14/2018 11:59 PM

Anticipated Funding Selection Date:

September 21, 2018

Anticipated Award Date:

September 25, 2018

Other Key Dates

Event	Suggested Deadline For Completion
Obtaining DUNS Number	Four weeks before actual submission deadline
Obtaining a valid EIN	Four weeks before actual submission deadline
Updating SAM registration	Four weeks before actual submission deadline
Starting application in Grants.gov	One week before actual submission deadline
<i>If applicable additional critical dates</i>	

Address to Request Application Package

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.” 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.

For a hardcopy of the full NOFO, please write or fax a request to:

Shareef Prater
Grants Officer
shareef.prater@hq.dhs.gov
Phone: 202-447-5903

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

Applications will be processed through the Grants.gov portal. If you have any difficulties please contact the grants.gov helpdesk at 1800-518-4726.

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.

Unique Entity Identifier and System for Award Management (SAM)

All applicants for this award must:

1. Be registered in SAM before submitting its application;
2. Provide a valid DUNS number in its application; and

3. Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a DHS FAO.

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

The Standard Language for Using Grants.gov Apply is provided to aid in fulfilling these requirements:

Electronic Delivery

DHS is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS encourages applicants to submit their applications online through Grants.gov

How to Register to Apply through Grants.gov

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

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

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants.

If individual applicants are eligible to apply for this grant funding opportunity, refer to: <https://www.grants.gov/web/grants/applicants/registration.html>

Organization applicants can find complete instructions here: <https://www.grants.gov/web/grants/applicants/organization-registration.html>

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

For more detailed instructions for obtaining a DUNS number, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

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

For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

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

For more information, follow the on-screen instructions or refer to: <https://www.grants.gov/web/grants/applicants/registration.html>

4. *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile.

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

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

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

6. *Track Role Status:* To track your role request, refer to: <https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

7. *Electronic Signature:* When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed and it is crucial for valid and timely submissions.**

How to Submit an Application to DHS via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>

1. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
2. *Complete a Workspace*: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission.
3. *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or DHS forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

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

4. *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
5. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.
6. *Submit a Workspace*: An application may be submitted through workspace by clicking the “Sign and Submit” button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
7. *Track a Workspace*: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

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

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

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

Timely Receipt Requirements and Proof of Timely Submission

Online Submissions. All applications must be received by **Midnight Eastern Standard Time** on the due date established for each program. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When DHS successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by DHS.

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

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>).

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) Costs.

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

Prior to making a federal award, the DHS FAO is required by 31 U.S.C. § 3321 and 41 U.S.C. § 2313 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk based considerations of the applicant:

1. Financial Stability.
2. Quality of management systems and ability to meet management standards.
3. History of performance in managing federal award.
4. Reports and findings from audits.
5. Ability to effectively implement statutory, regulatory, or other requirements.

Application 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 a fully functional IS-ISA0; (40 Points)

The extent to which the applicant demonstrates:

- a. Conduct research and analysis on the most effective methods for bi-lateral cybersecurity information sharing in the SLTT community. (10 points).
- b. Background with cybersecurity-related information sharing and the identification, development, and implementation of fully functional IS-ISA0 that focus on regional information sharing, communications and outreach, training and education, research and development for the improvement of State Local Tribal and Territorial (SLTT) government capabilities and capacity. (15 points).
- c. Qualified and experienced to gather, analyze, and disseminate government and critical infrastructure information to SLTT. Recent and extensive experience providing cybersecurity-related information sharing and best practice development generally. (15 points).

2. Develop documentation including design, policies and procedures, CONOPS, and operations manual(s); (10 Points)

The extent to which the applicant demonstrates:

- a. Develop policy and procedures to provide escalation to law enforcement, Department of Homeland Security, and to national security within SLTT community, regional activity and awareness across the network. (10 points).

3. Capacity to Provide Wide Outreach (40 Points)

The extent to which the applicant demonstrates:

- a. Ability to deliver transparent coordination engagements with existing ISACs, ISAOs, associations, SLTT, private companies, Federal agencies, and subject matter experts engaged in cybersecurity-related information sharing supporting their customers. (10 points)
- b. Ability to work with academic partners who will utilize IS-ISAO operations centers to provide real world learning environments to improve student skills and identify research opportunities for students and faculty to explore the full spectrum of cyber technology. (10 points).
- c. Ability to develop hands-on work force development programs in collaboration with academia. (10 Points).
- d. Ability to coordinate and engage with owners and operators and regulators of critical infrastructure, relevant agencies, and other public and private sector stakeholders. (10 points).

4. 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, shareef.prater@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.

i. “Prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).

ii. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

iii. DHS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR § 200.205 federal awarding agency review of risk posed by applicants."

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.

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>.

The award will be made under a cooperative agreement and will be executed by the Grants Officer authorized to obligate DHS funding. Award notices will be sent via email.

Administrative and National Policy Requirements

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

[DHS Standard Terms and Conditions](#)

The applicable DHS Standard Terms and Conditions will be for the last year specified at that URL, unless the application is for a continuation award. In that event, the terms and conditions in effect for the fiscal year that award was originally made will apply.

Before accepting the award, the AOR 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.

Reporting

Federal Financial Reporting Requirements.

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.

Federal Financial Reporting Requirements.

The Federal Financial Reporting Form (FFR) is available online at:

[SF-425 OMB #4040-0014](#)

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 IS-ISAO. These reports shall also include:

- i. Summary reports on the IS-ISAO's strategic vision and activities; IS-ISAO management efforts; performance reports on each funded IS-ISAO 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 IS-ISA'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 ISA@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 Reporting Requirements

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 must be reported with the final progress report.

After these reports have been reviewed and approved by DHS, 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

Contact and Resource 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.

Shareef Prater
Office of Procurement Operations (MGMT OPO)
Phone: (202) 447-5903
Email: shareef.prater@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.

Laura Carlson
Office of Cybersecurity and Communications
Phone: (703) 705-6226
Email: laura.carlson@hq.dhs.gov

H. Additional Information

Extensions

Extensions to this program are allowed

Extensions to the Period of Performance can only be authorized in writing by the DHS Grants Officer.

The extension request shall be submitted to the DHS Grants Officer sixty (60) days prior to the expiration date of the performance period.

Requests for time extensions to the Period of Performance will be considered, but will not be granted automatically, and must be supported by adequate justification to be processed. The justification is a written explanation of the reason or reasons for the delay; an outline of remaining resources/funds available to support the extended period of performance; and a description of performance measures necessary to complete the project. Without performance and financial status reports current and justification submitted, extension requests shall not be processed.

DHS has no obligation to provide additional resources/funding as a result of an extension.

Disclosure

Risk Assessment Evaluation

DHS staff will evaluate the risks to the program posed by each applicant, including conducting due diligence to ensure an applicant's ability to manage federal funds. This evaluation is in addition to the evaluation of the applicant's eligibility and the quality of its application on the basis of the Selection Criteria, and results from this evaluation may assist funding decisions. If

an award is made, DHS may apply special conditions that correspond to the degree of risk of the award.

In evaluating risks, DHS may consider the following:

- Financial stability;
- Quality of management systems and ability to meet the management standards prescribed in applicable OMB Guidance;
- Applicant's record in managing previous DHS awards, cooperative agreements, or procurement awards, including:
 1. Timeliness of compliance with applicable reporting requirements
 2. Accuracy of data reported
 3. Conformance to the terms and conditions of previous federal awards
 4. If applicable, the extent to which any previously awarded amounts will be expended prior to future awards
 5. Information available through OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as: Federal Awardee Performance and Integrity Information System (FAPIIS), Duns and SAM
 6. Reports and findings from single audits performed under Subpart F – Audit Requirements, 2 C.F.R. Part 200 and findings and reports of any other available audits
 7. Applicant organization's annual report
 8. Publicly available information, including information from the applicant organization's website
 9. Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.

In addition, organizations who have not received prior DHS Grants and Financial Assistance Division (GFAD) awards may be required to complete a risk assessment questionnaire as part of the pre-award financial and administrative review.

Applicant Disclosure of High Risk Status

Applicants are to disclose if they are currently designated as high risk by a federal awarding agency. This includes, but is not limited to, any status requiring additional oversight by a federal awarding agency due to past programmatic, administrative or financial concerns. If an applicant is designated as high risk by a federal awarding agency, it should provide an explanation with the application package and include the following information:

- The federal awarding agency that assigned the high risk status;

- The federal awarding agency's point of contact for the risk status, including name, phone number and email address;
- Date of the risk status designation;
- Reason(s) for the risk status.

DHS seeks this information to ensure appropriate federal oversight of all grant awards. The disclosure of an organization's risk status does not disqualify it from receiving an award; however additional grant oversight may be required. If necessary, this information will be provided in the award documentation. Failure to disclose high risk status may result in award termination or other remedies.

Other

i. 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.

ii. 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.

iii. 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.