

April 24, 2015

**ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY (FFO)
Smart Grid Interoperability Standards Cooperative
Agreement Program**

EXECUTIVE SUMMARY

- **Federal Agency Name:** National Institute of Standards and Technology (NIST), United States Department of Commerce (DoC)
- **Funding Opportunity Title:** Smart Grid Interoperability Standards Cooperative Agreement Program
- **Announcement Type:** Initial
- **Funding Opportunity Number:** 2015-NIST-SGIS-01
- **Catalog of Federal Domestic Assistance (CFDA) Number:** 11.619 Arrangements for Interdisciplinary Research Infrastructure
- **Dates:** Electronic applications must be received no later than 11:59 p.m. Eastern Time, Wednesday, June 24, 2015. Paper applications must be received by NIST by 5:00 p.m. Eastern Time, Wednesday, June 24, 2015. Applications received after the respective deadline will not be reviewed or considered. The earliest anticipated time frame for an award under this FFO is expected to be January to March 2016.

When developing your submission timeline, keep in mind that (1) a free annual registration process in the electronic System for Award Management (SAM) (see Section IV.3. of this FFO) may take between three and five business days or as long as more than two weeks, and (2) applicants using Grants.gov will receive a series of receipts over a period of up to two business days before learning via a validation or rejection whether a Federal agency's electronic system has received its application. **Please note that a federal assistance award cannot be issued if the designated recipient's registration in the System for Award Management (SAM.gov) is not current at the time of the award.**

- **Application Submission Address:** See Section IV. in the Full Announcement Text of this FFO.
- **Funding Opportunity Description:** NIST invites applications from eligible applicants for a program with substantial NIST participation that will support continuous innovation of the electrical grid through the coordination and acceleration of standards development and harmonization and advancement of the interoperability and security of smart grid devices and systems. The applicant will work with NIST in its fulfillment of standards coordination activities as mandated under the Energy Independence and Security Act of 2007 (EISA).

- **Anticipated Funding Amounts:** NIST anticipates funding one multi-year project with a budget and performance period of up to three years for up to approximately \$2,100,000, subject to availability of funds. Initial funding that may be obligated under this announcement is approximately \$900,000, subject to the availability of FY 16 funds, for the first year. The project may be continued on an annual basis for up to two additional years at a level of up to approximately \$700,000 for the second year, and up to approximately \$500,000 for the third year, subject to the multi-year funding policy described in Section II.3. of this FFO. In addition, as set forth in Section II.4. of this FFO, the award issued pursuant to this FFO may be renewed by NIST without further competition for a subsequent period of up to two (2) years, based upon the recipient's satisfactory performance, continued relevance of the project to the mission and priorities of the Smart Grid Interoperability Standards Cooperative Agreement Program, and the availability of funds, as described in Section II.4. of this FFO.
- **Funding Instrument:** Cooperative agreement
- **Who is Eligible:** Institutions of higher education, non-profit organizations, state and local governments, and for-profit organizations, located in the United States and its territories. An eligible organization may work individually or include proposed subawards or contracts with others in a project proposal, effectively forming a team or consortium.
- **Cost Sharing Requirements:** This program does not require cost sharing.

FULL ANNOUNCEMENT TEXT

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I. Program Description

The statutory authority for the Smart Grid Interoperability Standards Cooperative Agreement Program is the Energy Independence and Security Act of 2007 (Pub. L. 110-

140) (EISA), Section 1305, and 15 U.S.C. § 272(b) and (c).

The U. S. Department of Commerce, National Institute of Standards and Technology (NIST) invites applications for a project with substantial NIST participation that will support continuous innovation of the electrical grid through coordinating and accelerating standards development and harmonization and advancement of the interoperability and security of smart grid devices and systems. The successful applicant will work with NIST in the fulfillment of its responsibilities pursuant to EISA.

EISA sets forth the United States' goal of modernizing the nation's electricity transmission and distribution system to create a smart electric grid. Under Section 1305 of EISA, NIST has "primary responsibility to coordinate the development of a framework that includes protocols and model standards for information management to achieve interoperability of smart grid devices and systems."

In June 2011 and February 2013, the White House released reports by the National Science and Technology Council (NSTC) entitled "A Policy Framework for the 21st Century Grid: Enabling Our Secure Energy Future" <http://go.usa.gov/3DXbG>) and "A Policy Framework for the 21st Century Grid: A Progress Report (<http://go.usa.gov/3DXbz>), respectively. The critical role of standards for the smart grid is spelled out in EISA and in the June 2011 and 2013 NSTC reports, which encourage the development and adoption of standards to ensure that today's investments in the smart grid remain valuable in the future to catalyze innovations, support consumer choice, create economies of scale to reduce costs, highlight best practices, and open global markets for smart grid devices and systems.

A key NIST objective is to ensure the existence of a self-sustaining, ongoing process that coordinates development and acceleration of interoperability and security standards necessary to support grid modernization in the decades to come. As described in EISA, smart grid modernization should provide additional functionality of the grid and encourage backward compatibility to the extent practical. NIST envisions a program that would provide a key mechanism to obtain cooperation and input from smart grid stakeholders to evolve the smart grid standards framework as new requirements and technologies emerge.

NIST envisions a process in which NIST will have substantial participation in the coordination of all stakeholders of the smart grid to accelerate standards development and harmonization and advance the interoperability and security of smart grid devices and systems. This coordinated effort includes activities such as developing use cases, identifying gaps and overlaps in smart grid standards, developing requirements that address these gaps, and developing plans to achieve coordination with standards development organizations (SDOs) and standards setting organizations (SSOs) to incorporate these requirements into existing or new standards and guidelines in a timely way. The process for this program involves interaction with the smart grid community using principles of transparency, accountability, inclusiveness and consensus.

Specifically, the awardee will work cooperatively with NIST to:

- 1) provide a broad based stakeholder forum to coordinate and accelerate smart grid interoperability,
- 2) provide the technical guidance and coordination necessary to facilitate the development and promote adoption and implementation of secure and reliable standards for smart grid interoperability, including development of smart grid architectural principles and conceptual frameworks,
- 3) develop a self-sustaining plan for future work including financial sustenance,
- 4) support smart grid development and deployment by maintaining a consensus list of smart grid standards and guidelines, including cybersecurity, testing and implementation guidance, that are reviewed and deemed ready for implementation, and provide tools, services, and outreach programs that enable the community to make effective use of this list,
- 5) identify and specify the necessary testing and certification requirements, including providing the underlying rationale and implementation guidance where appropriate, to assess the achievement of interoperability using smart grid standards,
- 6) proactively inform and educate smart grid industry stakeholders on the definition of and the benefits attributable to interoperability,
- 7) conduct outreach to similar organizations in other countries to help establish global interoperability alignment, and
- 8) oversee the performance of the activities described above to achieve significant output and outcomes useful to the smart grid community, in order to maintain momentum and progress.

Additionally, the awardee, through its work with the standards process, should interface with and collaborate with NIST on its broad smart grid standardization and research program. That program, the objectives of which are to develop and deploy advances in measurement science to enable integration of interoperable and secure real-time sensing, control, communications, information and power technologies, in order to increase efficiency, reliability and sustainability of the nation's electric grid, has the following priority areas:

- 1) Smart Grid System Testbed Facility
- 2) Cybersecurity for Smart Grid Systems
- 3) Smart Grid Communication Networks
- 4) Precision Timing for Grid Systems
- 5) Electromagnetic Compatibility of Smart Grid Devices and Systems
- 6) Wide-area Monitoring and Control of Smart Grid
- 7) Advanced Metering in Smart Distribution Grids
- 8) Power Conditioning Systems for Renewables, Storage, and Microgrids
- 9) Building Integration with Smart Grid
- 10) Smart Grid Testing and Certification
- 11) Smart Grid National Coordination

More information about NIST's Smart Grid program is available at <http://www.nist.gov/smartgrid/>.

II. Federal Award Information

- 1. Funding Instrument.** The funding instrument that will be used is a cooperative agreement. The nature of NIST's "substantial involvement" will generally be collaboration between NIST and the recipient organizations. This includes NIST collaboration with a recipient on the scope of work. Additional forms of substantial involvement that may arise are described in Chapter 5.C of the Department of Commerce (DoC) Grants and Cooperative Agreements Manual, which is available at <http://go.usa.gov/SNJd>. Please note the DoC Grants and Cooperative Agreements Manual is expected to be updated after publication of this funding announcement and before October 1, 2015. Refer to Section VII. of this FFO, Agency Contacts, Grant Rules and Regulations, if you seek the information at this link and it is no longer working or you need more information.
- 2. Multi-Year Funding Policy.** When an application for a multi-year award is approved, funding will usually be provided for only the first year of the project. Recipients will be required to submit detailed budgets and budget narratives prior to the award of any continued funding. Continued funding for the remaining years of the project will be awarded by NIST on a non-competitive basis, and may be adjusted higher or lower from year-to-year of the award, contingent upon satisfactory performance, continued relevance to the mission and priorities of the program, and the availability of funds. Continuation of an award to extend the period of performance and/or to increase or decrease funding is at the sole discretion of NIST.
- 3. Funding Availability.** NIST anticipates funding one multi-year project with a budget and performance period of up to three years for up to approximately \$2,100,000, subject to availability of funds. Initial funding that may be obligated under this announcement is approximately \$900,000, subject to the availability of FY 16 funds, for the first year. The project may be continued on an annual basis for up to two additional years at a level of up to approximately \$700,000 for the second year, and up to approximately \$500,000 for the third year, subject to the multi-year funding policy described in Section II.3. of this FFO. In addition, as set forth in Section II.4. of this FFO, the award issued pursuant to this FFO may be renewed by NIST without further competition for a subsequent period of up to two (2) years, based upon the recipient's satisfactory performance, continued relevance of the project to the mission and priorities of the Smart Grid Interoperability Standards Cooperative Agreement Program, and the availability of funds, as described in Section II.4. of this FFO.
- 4. Potential for an Additional Two (2) Years.** The initial award issued pursuant to this FFO is expected to be for up to three (3) years (see Section II.2. of this FFO) with the possibility for NIST to renew the award, on a non-competitive basis, for an additional period of up to two (2) years at the end of the initial award period for up to \$400,000 per year. In considering renewal for an additional period of up to two (2) years, NIST will evaluate the results of the awardee's progress in meeting the objectives of the Smart Grid Interoperability Standards Cooperative Agreement Program described in Section I. of this FFO and the awardee's proposed work to be completed for the additional two (2) years. The full process for considering a renewal of an award is expected to include

programmatic, policy, financial, administrative, and responsibility assessments, and the availability of funds, consistent with Department of Commerce and NIST policies and procedures in effect at that time.

III. Eligibility Information

- 1. Eligible Applicants.** This program is open to institutions of higher education, non-profit organizations, state and local governments, and for-profit organizations, located in the United States and its territories. An eligible organization may work individually or include proposed sub awards or contracts with others in a project proposal, effectively forming a team or consortium.
- 2. Cost Sharing or Matching.** This program does not require cost sharing.

IV. Application and Submission Information

- 1. Address to Request Application Package.** The standard application package, consisting of the standard forms, i.e., SF-424, SF-424A, SF-424B, SF-LLL, and the CD-511, is available at www.grants.gov. Applicants may also request an application package by contacting the NIST personnel listed below.

Karla Sims, Engineering Laboratory, National Institute of Standards and Technology, 100 Bureau Drive, Stop 8600, Gaithersburg, MD 20899-8602, Phone: (301) 975-4878; e-mail: karla.sims@nist.gov.

2. Content and Format of Application Submission

a. Required Forms and Documents

- (1) SF-424, Application for Federal Assistance.** The SF-424 must be signed by an authorized representative of the applicant organization.

SF-424, Item 12, should list the FFO number 2015-NIST-SGIS-01.

SF-424, Item 18, should list the total budget information for the duration of the project.

The list of certifications and assurances referenced in Item 21 of the SF-424 is contained in the SF-424B.

- (2) SF-424A, Budget Information – Non-Construction Programs.** The budget should reflect anticipated expenses for each year of the project, considering all potential cost increases, including cost of living adjustments.
- (3) SF-424B, Assurances – Non-Construction Programs**

- (4) **CD-511, Certification Regarding Lobbying**
- (5) **SF-LLL, Disclosure of Lobbying Activities (if applicable)**
- (6) **Technical Proposal.** The Technical Proposal is a word-processed document of no more than thirty (30) pages responsive to the program description (see Section I. of this FFO) and the evaluation criteria (see Section V.1. of this FFO). It should contain the following information:
 - a) **Executive Summary.** An executive summary of the proposed approach, this should be consistent with the evaluation criteria (see Section V.1. of this FFO). The executive summary should not exceed one (1) single-sided page.
 - b) **Technical Project Approach.** A description of the proposed approach, sufficient to permit evaluation of the proposal, in accordance with the Technical Project Approach evaluation criterion (see Section V.1.a. of this FFO).
 - c) **Stakeholder Engagement Work Plan.** A description of the proposed stakeholder engagement, sufficient to permit evaluation in accordance with the Stakeholder Engagement criterion (see Section V.1.b. of this FFO). This Plan should include a communications and outreach strategy and a plan for the implementation of this strategy. Applicants should include a discussion of how they will achieve neutrality in the outcome of the standards development and harmonization process related to this project. If applicable, applicants may provide a mitigation plan to overcome such neutrality concerns.
 - d) **Methodology and Project Management Plan.** A description of the applicant's proposed methods and approach to project management sufficient to permit evaluation in accordance with the Methodology and Project Management Plan evaluation criterion (see Section V.1.c. of this FFO).
 - e) **Qualifications of the Applicant and Resource Availability.** A description of the qualifications and proposed operational or management activities of key personnel who will be assigned to work on the proposed project are required. Examples of key personnel past experiences should include experiences working with a wide variety of organizations, including accredited institutions of higher education; non-profit organizations; consortia; commercial organizations; standards development organizations and standards development processes; and Federal, state, local, Indian tribal, and territorial government representatives. In addition, this section should provide a description of the facilities and overall support available to the applicant to accomplish

the project objectives. This section will be the primary, but not only, means by which the proposal will be evaluated according to the Qualifications of the Applicant evaluation criterion (see Section V.1.d. of this FFO).

- (7) **Budget Narrative.** In addition to the SF-424A, applicants must provide a detailed budget narrative to explain fully and justify all proposed project funding for all years in accordance with applicable federal cost principles set forth in 2 C.F.R. Part 200 Subpart E. In this narrative, the recipient should provide adequate information to support the costs identified in each budget category for each year of the project.
- (8) **Indirect Cost Rate Agreement.** If indirect costs are included in the proposed budget, provide a copy of the approved negotiated agreement if this rate was negotiated with a cognizant Federal audit agency. If the rate was not established by a cognizant Federal audit agency, provide a statement to this effect. If the successful applicant includes indirect costs in the budget and has not established an indirect cost rate with a cognizant Federal audit agency, the applicant will be required to obtain such a rate in accordance with the Department of Commerce Financial Assistance Standard Terms and Conditions available at: <http://go.usa.gov/hKbj>.
- (9) **Resumes of Key Personnel** (the resumes are not included in the page count). Resumes of all key personnel are required. These resumes are to be a maximum of two pages each; information received beyond two pages will not be considered. Resumes of non-key personnel are not required and will not be considered. Note that the resumes are part of the material addressing the Qualifications of the Applicant and Resource Availability evaluation criterion (see Section V.1.d. of this FFO).
- (10) **Letters of Commitment**, if applicable (letters of commitment are not included in the page count).
 - a) If key personnel are identified by the applicant and are willing to fill vacancies on the applicant's staff, letters of commitment from the identified persons should be included. The letters from such individuals, or groups of individuals, should indicate the relationship of the writer to the applicant and how the writer will help fulfill the efforts described in the Program Description (see Section I. of this FFO).
 - b) If the applicant's proposal includes subawards or contracts to third parties, effectively forming a team or consortium, as described in Section III.1. of this FFO, letters of commitment from proposed subawardees and contractors should be included. Each letter should indicate the submitting organization's willingness to participate as a subawardee or contractor and describe what work they will do and the associated cost to the applicant (see Section I. of this FFO).
 - c) Letters of commitment should not be letters submitted by entities not

participating in the application, wishing to vouch for the applicant's (or other organizations included in the application's) knowledge, skills, and abilities or organizations to conduct the proposed work. Such letters should be in the form of a letter of support (see Section IV.2.a.11. of this FFO).

- (11) Letters of Support**, if applicable, optional (one recommended, but no more than five; letters of support are not included in the page count). Letters of support from parties not participating in the application are acceptable. Letters of support may be from parties with whom the applicant has worked with in the past in a similar area of work to that described in the Program Description (see Section I. of this FFO).

If submitting the application electronically via Grants.gov, items IV.2.a.(1) through IV.2.a.(5) above are part of the standard application package in Grants.gov and can be completed through the download application process. **Items IV.2.a.(6) through IV.2.a.(11) must be completed and attached by clicking on "Add Attachments" found in item 15 of the SF-424, Application for Federal Assistance. This will create a zip file that allows for transmittal of the documents electronically via Grants.gov.**

Applicants should carefully follow specific Grants.gov instructions at www.grants.gov to ensure the attachments will be accepted by the Grants.gov system. ***A receipt from Grants.gov indicates only that an application was transferred to a system. It does not provide details concerning whether all attachments (or how many attachments) transferred successfully. Applicants using Grants.gov will receive email notifications over a period of up to two business days as the application moves through intermediate systems before the applicant learns via a "validation" or a rejection notification whether NIST has received the application. Validation completes the submission process.***

If submitting an application by paper, all of the required documents should be submitted in the order listed above.

b. Application Format

- (1) E-mail and Facsimile (fax) Submissions.** Will not be accepted.
- (2) Number of Paper Copies.** For paper submissions, one (1) signed stapled original and two (2) stapled copies. If original application is in color, the two (2) copies must also be in color. **If submitting electronically via Grants.gov, paper copies are not required.**
- (3) Figures, Graphs, Images, and Pictures.** Should be of a size that is easily readable or viewable and may be landscape orientation.
- (4) Font.** Easy to read font (10-point minimum). Smaller type may be used in

figures and tables but must be clearly legible.

- (5) **Line Spacing.** Applicants may use single spacing or double spacing.
- (6) **Margins.** One (1) inch top, bottom, left, and right.
- (7) **Page Layout.** The Technical Proposal (see Section IV.2.a.(6) of this FFO) must be in portrait orientation except for figures, graphs, images, and pictures. Paragraphs are to be clearly separated from each other by double spacing, paragraph formatting or equivalent.
- (8) **Page Limit.** The Technical Proposal is limited to thirty (30) pages.

Page Limit Includes: Table of contents (if included), Technical Proposal with all information for each of the suggested sections (see Section IV.2.a.(6) of this FFO), figures, graphs, tables, images, and pictures.

Page Limit Excludes: SF-424, Application for Federal Assistance; SF-424A, Budget Information – Non-Construction Programs; SF-424B, Assurances – Non-Construction Programs; CD-511, Certification Regarding Lobbying; SF-LLL, Disclosure of Lobbying Activities; Budget Narrative; Indirect Cost Rate Agreement; Resumes of Key Personnel; Letters of Commitment; and Letters of Support.

- (9) **Page Numbering.** Number pages sequentially.
- (10) **Paper Size.** 21.6 centimeters by 27.9 centimeters (8 ½ inches by 11 inches).
- (11) **Application Language.** English.
- (12) **Staple paper submission.** For paper submissions, staple the original signed application and each of the two (2) copies securely with one (1) staple in the upper left-hand corner.
- (13) **Typed document.** All applications, including forms, must be typed; handwritten applications and forms will not be accepted.

- c. **Application Replacement Pages.** Applicants may not submit replacement pages and/or missing documents once an application has been submitted. Any revisions must be made by submission of a new application that must be received by NIST by the submission deadline.
- d. **Pre-Applications.** NIST is not accepting pre-applications or white papers under this FFO.

3. Unique Entity Identifier and System for Award Management (SAM). Pursuant to 2 C.F.R. part 25, each applicant and recipient (as the case may be) is required to: (i) be registered in SAM before submitting its application; (ii) provide a valid unique entity identifier in its application; and (iii) continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency, unless otherwise excepted from these requirements pursuant to 2 C.F.R. § 25.110. **NIST will not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time NIST is ready to make a Federal award pursuant to this FFO, NIST 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.**

4. Submission Dates and Times. Electronic applications must be received no later than 11:59 p.m. Eastern Time, Wednesday, June 24, 2015. Paper applications must be received by NIST by 5:00 p.m. Eastern Time, Wednesday, June 24, 2015. Applications received after the respective deadline will not be reviewed or considered. The earliest anticipated time frame for an award under this FFO is expected to be January to March 2016.

NIST determines whether paper applications have been timely received by the deadline by the date and time they are physically received by NIST at its Gaithersburg, Maryland campus. For electronic applications, NIST will consider the date and time stamped on the validation generated by www.grants.gov as the official submission time.

NIST strongly recommends that applicants do not wait until the last minute to submit an application. NIST will not make allowance for any late submissions. To avoid any potential processing backlogs due to last minute Grants.gov registrations, applicants are highly encouraged to begin their Grants.gov registration process early.

When developing your submission timeline, keep in mind that (1) a free annual registration process in the electronic System for Award Management (SAM) (see Section IV.3. of this FFO) may take between three and five business days or as long as more than two weeks, and (2) applicants using Grants.gov will receive a series of receipts over a period of up to two business days before learning via a validation or rejection whether a Federal agency's electronic system has received its application.

5. Intergovernmental Review. Applications under this Program are not subject to Executive Order 12372.

6. Funding Restrictions. Profit or fee is not an allowable cost.

7. Other Submission Requirements

a. Applications may be submitted by paper or electronically.

- (1) Paper applications must be submitted in triplicate (an original and two copies) and submitted to the NIST personnel listed below.

Karla Sims, Engineering Laboratory, National Institute of Standards and Technology, 100 Bureau Drive, Stop 8600, Gaithersburg, MD 20899-8602, Phone: (301) 975-4878).

- (2) Electronic applications must be submitted via Grants.gov at www.grants.gov, under announcement 2015-NIST-SGIS-01.

- a) Applicants should carefully follow specific Grants.gov instructions to ensure that all attachments will be accepted by the Grants.gov system. A receipt from Grants.gov indicating an application is received does not provide information about whether attachments have been received. For further information or questions regarding applying electronically for the 2015-NIST-SGIS-01 announcement, contact Christopher Hunton by phone at 301-975-5718 or by e-mail at christopher.hunton@nist.gov.
- b) Applicants are strongly encouraged to start early and not wait until the approaching due date before logging on and reviewing the instructions for submitting an application through Grants.gov. The Grants.gov registration process must be completed before a new registrant can apply electronically. If all goes well, the registration process takes three (3) to five (5) business days. If problems are encountered, the registration process can take up to two (2) weeks or more. Applicants must have a valid unique entity identifier number and must maintain a current registration in the Federal government's primary registrant database, the System for Award Management (<https://www.sam.gov/>), as explained on the Grants.gov Web site. See also Section IV.3. of this FFO. After registering, it may take several days or longer from the initial log-on before a new Grants.gov system user can submit an application. Only authorized individual(s) will be able to submit the application, and the system may need time to process a submitted application. Applicants should save and print the proof of submission they receive from Grants.gov. If problems occur while using Grants.gov, the applicant is advised to (a) print any error message received and (b) call Grants.gov directly for immediate assistance. If calling from within the United States or from a U. S. territory, please call 800-518-4726. If calling from a place other than the United States or a U. S. territory, please call 606-545-5035. Assistance from the Grants.gov Help Desk will be available around the clock every day, with the exception of Federal holidays. Help Desk service will resume at 7:00 a.m. Eastern Time the day after Federal holidays. For assistance using Grants.gov, you may also contact support@grants.gov.

- c) To find instructions on submitting an application on Grants.gov, Applicants should refer to the “Applicants” tab in the banner just below the top of the www.grants.gov home page. Clicking on the “Applicants” tab produces the “Grant Applicants” page.

In addition to following the “Steps” and instructions described in the “Applicant Actions” section and its sub-categories, further detailed instructions are described in “Applicant Resources” and all of its subcategories. This appears in the box near the top left of the Grant Applicants page. Applicants should follow the links associated with each subcategory.

Applicants will receive a series of receipts during a process of up to two business days before the application is either validated as electronically received by the Federal agency system, or rejected by it. Closely following the detailed information in these subcategories will increase the likelihood of acceptance of the application by the Federal agency’s electronic system.

The application must be both *received and validated* by Grants.gov. The application is “received” when Grants.gov provides the applicant with a confirmation of receipt and an application tracking number. If the applicant does not see this confirmation and tracking number, the application has not been received. After the application has been received, it must still be validated. During this process, it may be “validated” or “rejected with errors.” To know whether the application was rejected with errors and the reasons why, the applicant must log in to Grants.gov, select “Applicants” from the top navigation, and select “Track my application” from the drop-down list. If the status is “rejected with errors,” the applicant may still seek to correct the errors and resubmit the application before the deadline. If the applicant does not correct the errors, the application will not be forwarded to NIST by Grants.gov.

Applicants should pay close attention to the instructions under “Applicant FAQs,” as it contains information important to successful submission on Grants.gov, including essential details on the naming conventions for attachments to Grants.gov applications.

All applicants, both electronic and paper submitters, should be aware that adequate time must be factored into applicants’ schedules for delivery of their application. Submitters of electronic applications are advised that volume on Grants.gov may be extremely heavy on the deadline date, and if Grants.gov is unable to accept applications electronically in a timely fashion, applicants are encouraged to exercise their option to submit applications in paper format. Submitters of paper applications should allow adequate time to ensure a paper application will be received on time, taking into account that Federal Government security screening for U.S. Postal Service mail may delay receipt of mail for up to two (2) weeks and that guaranteed express mail carriers and/or couriers are not always able to fulfill their guarantees.

Refer to important information in Section IV.4. Submission Dates and Times, to help ensure your application is received on time.

- b. Amendments.** Any amendments to this FFO will be announced through Grants.gov. Applicants may sign up for Grants.gov FFO amendments or may request copies from Karla Sims by telephone at (301) 975-4878 or by e-mail to karla.sims@nist.gov.

V. Application Review Information

- 1. Evaluation Criteria.** The evaluation criteria that will be used in evaluating applications are as follows:

- a. Technical Project Approach (0 – 40 points, sub-criteria i. through viii. below receive equal weight):** The extent to which the applicant's proposed project clearly addresses the program goals (see Section I. of this FFO) and demonstrates how the applicant will efficiently and effectively do the following will be evaluated:

- i. provide a broad based stakeholder forum to coordinate and accelerate smart grid interoperability;
- ii. provide the technical guidance and coordination necessary to facilitate the development and promote adoption and implementation of secure and reliable standards for smart grid interoperability, including development of smart grid architectural principles and conceptual frameworks;
- iii. develop a self-sustaining plan for future work including financial sustenance;
- iv. support smart grid development and deployment by maintaining a consensus list of smart grid standards and guidelines, including cybersecurity, testing and implementation guidance, that are reviewed and deemed ready for implementation, and provide tools, services, and outreach programs that enable the community to make effective use of this list;
- v. identify and specify the necessary testing and certification requirements, including providing the underlying rationale and implementation guidance where appropriate, to assess the achievement of interoperability using smart grid standards;
- vi. proactively inform and educate smart grid industry stakeholders on the definition of and the benefits attributable to interoperability;
- vii. conduct outreach to similar organizations in other countries to help establish global interoperability alignment; and
- viii. oversee the performance of the above listed activities to achieve significant output and outcomes useful to the smart grid community, in order to maintain momentum and progress.

- b. Stakeholder Engagement Work Plan (0 – 20 points):** The applicant's approach toward flexibly and effectively engaging Smart Grid stakeholder groups and the community at large will be evaluated. The applicant's approach to mitigate and manage issues associated with implementing its stakeholder engagement work plan

will be evaluated. Evaluators will consider if the applicant's methods ensure reasonable representation from key communities, if there are approaches to adequately facilitate multiple diverse stakeholders with different points of view and achieve consensus, and if there are approaches to ensure ample openness and transparency and responsiveness to change. Evaluators will also review the applicant's approach to implement its communications and outreach strategy and evaluate if the success of this approach is achievable in the context of meeting the program goals of this FFO. Timing is important in the development of the mechanism for stakeholder engagement and will be included in the evaluation. The approach to achieving neutrality in the outcome of the standards development and harmonization process related to this project also will be evaluated.

c. Methodology and Project Management Plan (0 to 20 points): The extent to which the applicant's proposed methods and approach to managing the project and identifying and resolving problems will be evaluated. Evaluators will consider the detailed work plan; clear and measurable performance objectives; key interim and final outputs reflecting the performance objectives; milestones, key deliverables, and timelines. Evaluators will also consider the likelihood that the approach would be successful in achieving the objectives and addressing challenges that may arise in the course of the project.

d. Qualifications of the Applicant and Resource Availability (0 to 20 points): The qualifications and experience of the proposed staff to carry out the objectives of the proposal will be evaluated as evidenced by information in the application which demonstrates the extent to which the applicant has access to technical experts, the necessary facilities, and overall support to accomplish the project objectives. The level of proposed staff effort during the award and the willingness of proposed staff to commit to the project for the duration of the initial award period (if key personnel have been identified to fill vacancies, letters of commitment from such persons should be included, see Section IV.2.a.(10) in this FFO); and the timeline needed for the applicant to get started on the work to meet the goals of the Program Description will be evaluated. Resumes of key personnel will be reviewed. Professional experience may include demonstrated knowledge of the current state of Smart Grid interoperability standards, the national electricity transmission and distribution system and industry, and current modernization issues; and the critical role of standards for the Smart Grid as spelled out in EISA and in the June 2011 and February 2013 NSTC reports (see Section I in this FFO for the link to these reports). Professional experience may also include bringing together diverse stakeholders and qualifications in stakeholder outreach and coordination and experience with facilitation of many dynamic stakeholders over a multitude of critical issues, and in substantive differences of approach and perspective.

2. Selection Factors. The Selecting Official will select an application based upon the rank order of the applications (see Section V.3.b. of this FFO) and may select an application out of rank order based on one or more of the following selection factors:

a. results of the reviewers' evaluations;

- b. priorities and objectives as set forth in the Program Description (see Section I. of this FFO);
- c. whether the project duplicates other projects funded or considered for funding by NIST or other federal agencies; and
- d. the availability of funds.

3. Review and Selection Process

- a. **Initial Administrative Review of Applications.** An initial review of timely received applications will be conducted to determine eligibility, completeness, and responsiveness to this FFO and the scope of the stated program objectives. Applications determined to be ineligible, incomplete, and/or non-responsive may be eliminated from further review. However, NIST, in its sole discretion, may continue the review process for an application that is missing non-substantive information that can easily be rectified or cured.
- b. **Full Review of Eligible, Complete, and Responsive Applications.** Applications that are determined to be eligible, complete, and responsive will be reviewed by at least three (3) independent, objective individuals who are knowledgeable in the subject matter of this FFO and its objectives based on the evaluation criteria (see Section V.1. of this FFO). If non-federal reviewers are used, the reviewers may discuss the proposals with each other, but scores will be determined on an individual basis, not as a consensus. Based on the reviewers' scores, a rank order will be prepared and provided to the Selecting Official for further consideration.

The Selecting Official, who is the Director of the Smart Grid and Cyber Physical Systems Program Office, or designee, will then select a funding recipient based on the rank order. The Selecting Official may select an application out of rank order based upon the selection factors in Section V.2. of this FFO.

NIST reserves the right to negotiate the budget costs with the applicants that have been selected to receive awards, which may include requesting that the applicant remove certain costs. Additionally, NIST may request that the applicant modify objectives or work plans and provide supplemental information required by the agency prior to award. NIST also reserves the right to reject an application where information is uncovered that raises a reasonable doubt as to the responsibility of the applicant. NIST may select some, all, or none of the applications, or part(s) of any particular application. The final approval of selected applications and issuance of awards will be by the NIST Grants Officer. The award decisions of the NIST Grants Officer are final.

- c. **Federal Awarding Agency Review of Risk Posed by Applicants.** After applications are proposed for funding by the selecting official, the NIST Grants Management Division performs administrative reviews, which may include a review of the financial stability of an applicant, the quality of the applicant's management

systems, the history of performance, and/or the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities. Upon review of these factors, if appropriate, special conditions that correspond to the degree of risk may be applied to an award.

- 4. Anticipated Announcement and Award Dates.** An award may be made in the January to March 2016 time frame.
- 5. Additional Information.** Proposals, reports, documents and other information related to applications submitted to NIST and/or relating to financial assistance awards issued by NIST will be reviewed and considered by Federal employees, Federal agents and contractors, and/or by non-Federal personnel who enter into nondisclosure agreements covering such information when applicable.
 - a. Notification to Unsuccessful Applicants.** Unsuccessful applicants will be notified in writing.
 - b. Retention of Unsuccessful Applications.** A copy of each non-selected application will be retained for three (3) years for record keeping purposes. After three (3) years, it will be destroyed.

VI. Federal Award Administration Information

- 1. Federal Award Notices.** Successful applicants will receive an award from the NIST Grants Officer. The award cover page, i.e., CD-450, Financial Assistance Award is available at <http://go.usa.gov/SNMR>.
- 2. Administrative and National Policy Requirements**
 - a. Uniform Administrative Requirements, Cost Principles and Audit Requirements.** Through 2. C.F.R. § 1327.101, the Department of Commerce adopted Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 C.F.R. Part 200, which apply to awards in this program. Refer to <http://go.usa.gov/SBYh> and <http://go.usa.gov/SBq4>.
 - b. Financial Assistance Standard Terms and Conditions.** The DoC will apply Financial Assistance Standard Terms and Conditions to this award. A current version of these terms, from December 2014, is available at <http://go.usa.gov/hKbj>.
 - c. DoC Pre-Award Notification Requirements.** The DoC Pre-Award Notification Requirements for Grants and Cooperative Agreements, 79 FR 78390 (December 30, 2014), are applicable to this FFO and are available at <http://go.usa.gov/hKkR>.
 - d. Collaborations with NIST Employees.** All applications should include a description of any work proposed to be performed by an entity other than the applicant, and the cost of such work should ordinarily be included in the budget.

If an applicant proposes collaboration with NIST, the statement of work should include a statement of this intention, a description of the collaboration, and prominently identify the NIST employee(s) involved, if known. Any collaboration by a NIST employee must be approved by appropriate NIST management and is at the sole discretion of NIST. Prior to beginning the merit review process, NIST will verify the approval of the proposed collaboration. Any unapproved collaboration will be stricken from the application prior to the merit review. Any collaboration with an identified NIST employee that is approved by appropriate NIST management will not make an application more or less favorable in the competitive process.

- e. **Use of NIST Intellectual Property.** If the applicant anticipates using any NIST-owned intellectual property to carry out the work proposed, the applicant should identify such intellectual property. This information will be used to ensure that no NIST employee involved in the development of the intellectual property will participate in the review process for that competition. In addition, if the applicant intends to use NIST-owned intellectual property, the applicant must comply with all statutes and regulations governing the licensing of Federal government patents and inventions, described in 35 U.S.C. §§ 200-212, 37 C.F.R. Part 401, 2 C.F.R. § 200.315, and in Section D.03 of the DoC Financial Assistance Terms and Conditions dated December 26, 2014, found at <http://go.usa.gov/hKbj>. Questions about these requirements may be directed to Chief Counsel for NIST, (301) 975-2803, nistcounsel@nist.gov.

Any use of NIST-owned intellectual property by an applicant is at the sole discretion of NIST and will be negotiated on a case-by-case basis if a project is deemed meritorious. The applicant should indicate within the statement of work whether it already has a license to use such intellectual property or whether it intends to seek one.

If any inventions made in whole or in part by a NIST employee arise in the course of an award made pursuant to this FFO, the United States government may retain its ownership rights in any such invention. Licensing or other disposition of NIST's rights in such inventions will be determined solely by NIST, and include the possibility of NIST putting the intellectual property into the public domain.

- f. **Research Activities Involving Human Subjects, Human Tissue, Data or Recordings Involving Human Subjects Including Software Testing.** Any application that includes research activities involving human subjects, human tissue/cells, or data or recordings involving human subjects, including software testing, must satisfy the requirements of the Common Rule for the Protection of Human Subjects ("Common Rule"), codified for the Department of Commerce (DoC) at 15 C.F.R. Part 27. Research activities involving human subjects who fall within the classes of subjects found in 45 C.F.R. Part 46, Subparts B, C and D must satisfy the requirements of the applicable subpart. In addition, any such application that includes research activities on these topics must be in compliance with any statutory requirements imposed upon the Department of Health and Human Services (DHHS) and other Federal agencies regarding these topics, all regulatory policies and

guidance adopted by DHHS, the Food and Drug Administration, and other Federal agencies on these topics, and all Executive Orders and Presidential statements of policy on these topics.

NIST reserves the right to make an independent determination of whether an applicant's activities include research involving human subjects. NIST policy also requires a NIST administrative review for research involving human subjects approved by a non-NIST Institutional Review Board (IRB). (15 C.F.R. § 27.112 Review by Institution.) If NIST determines that an application includes research activities which involve human subjects, the applicant will be required to provide additional information for review and approval. If an award is issued, no research activities involving human subjects shall be initiated or costs incurred for those activities under the award until the NIST Grants Officer issues written approval. Retroactive approvals are not permitted.

Organizations that have an IRB are required to follow the procedures of their organization for approval of exempt and non-exempt research activities that involve human subjects, if the application is funded. Both domestic and foreign organizations performing non-exempt research activities involving human subjects will be required to have protocols approved by a cognizant, active IRB currently registered with the Office for Human Research Protections (OHRP) within the DHHS that is linked to the engaged organizations. All engaged organizations must possess a currently valid Federalwide Assurance (FWA) on file from OHRP. Information regarding how to apply for an FWA and register an IRB with OHRP can be found at <http://www.hhs.gov/ohrp/assurances/index.html>. NIST relies only on OHRP-issued FWAs and IRB Registrations for both domestic and foreign organizations for NIST supported research involving human subjects. NIST will not issue its own FWAs or IRB Registrations for domestic or foreign organizations.

The applicant should clearly indicate in the application, by separable task, all research activities believed to be exempt or non-exempt research involving human subjects and the expected institution(s) where the research activities involving human subjects may be conducted, and which institutions are expected to be engaged in the research activities.

If an activity/task involves data obtained through intervention or interaction with living individuals or identifiable private information obtained from or about living individuals but the applicant participant(s) believes that the activity/task is not research as defined under the Common Rule, the following information may be requested for that activity/task:

- (1) Justification, including the rationale for the determination and in some cases additional documentation, to support a determination that the activity/task in the application is not research as defined in the Common Rule. See 15 C.F.R. § 27.102 Definitions.
- (2) If the applicant participant(s) uses a cognizant IRB that provides a determination that the activity/task is not research, a copy of that determination documentation will be required by NIST. The applicant participant(s) is not

required to establish a relationship with a cognizant IRB if they do not have one, but if the applicant participant(s) has a cognizant IRB that requires review of the activity/task, or the applicant participant(s) elects to obtain IRB review, a copy of the IRB approval/determination documentation will be required by NIST.

NIST will review the information submitted and may coordinate further with the applicant before determining whether the activity/task will be defined as research for purposes of implementing the Common Rule in the applicable NIST financial assistance program or project.

If the application appears to NIST to include exempt research activities, and the performer of the activity or the supplier and/or the receiver of the biological materials or data from human subjects **does not** have a cognizant IRB to provide an exemption determination, the following information may be requested during the review process so that NIST can evaluate whether an exemption under the Common Rule applies (see 15 C.F.R. § 27.101 To what does this policy apply?):

- (1) The name(s) of the institution(s) where the exempt research will be conducted; and/or from which biological materials or data from human subjects will be provided.
- (2) A copy of the protocol for the research to be conducted; and/or the biological materials or data from human subjects to be collected/provided, not pre-existing samples (*i.e.*, will proposed research collect only information without personal identifiable information, will biological materials or data be de-identified and when and by whom was the de-identification performed, how were the materials or data originally collected).
- (3) For pre-existing biological materials or data from human subjects, provide copies of the consent forms used for collection and a description of how the materials or data were originally collected and stripped of personal identifiers. If copies of consent forms are not available, explain.
- (4) Any additional clarifying documentation that NIST may request during the review process in order to make a determination that the activity/task or use of biological materials or data from human subjects is exempt under the Common Rule (see 15 C.F.R. § 27.101 To what does this policy apply?).

If the application appears to NIST to include research activities (exempt or non-exempt) involving human subjects, and the performer of the activity has a cognizant IRB registered with OHRP, the following information may be requested during the review process:

- (1) The name(s) of the institution(s) where the research will be conducted;
- (2) The name(s) and institution(s) of the cognizant IRB(s), and the IRB registration number(s);
- (3) The FWA number of the applicant linked to the cognizant IRB(s);
- (4) The FWAs associated with all organizations engaged in the planned research activity/task, linked to the cognizant IRB;

- (5) If the IRB review(s) is pending, the estimated start date for research involving human subjects;
- (6) The IRB approval date (if currently approved for exempt or non-exempt research);
- (7) If any of the engaged organizations has applied for or will apply for an FWA or IRB registration, those details should be clearly provided for each engaged organization.

Additional documentation may be requested by NIST for performers with a cognizant IRB during review of the application, and may include the following for research activities involving human subjects that are planned in the first year of the award:

- (1) A signed (by the study principal investigator) copy of each applicable final IRB-approved protocol;
- (2) A signed and dated approval letter from the cognizant IRB(s) that includes the name of the institution housing each applicable IRB, provides the start and end dates for the approval of the research activities, and any IRB-required interim reporting or continuing review requirements;
- (3) A copy of any IRB-required application information, such as documentation of approval of special clearances (*i.e.*, biohazard, HIPAA, etc.) conflict-of-interest letters, or special training requirements;
- (4) A brief description of what portions of the IRB submitted protocol are specifically included in the application submitted to NIST, if the protocol includes tasks not included in the application, or if the protocol is supported by multiple funding sources. For protocols with multiple funding sources, NIST will not approve the study without a non-duplication-of-funding letter indicating that no other federal funds will be used to support the tasks proposed under the proposed research or ongoing project;
- (5) If a new protocol will only be submitted to an IRB if an award from NIST is issued, a draft of the proposed protocol may be requested;
- (6) Any additional clarifying documentation that NIST may request during the review process to perform the NIST administrative review of research involving human subjects. (See 15 C.F.R. § 27.112 Review by Institution.)

This clause reflects the existing NIST policy for Research Involving Human Subjects. Should the policy be revised prior to award, a clause reflecting the policy current at time of award may be incorporated into the award.

If the policy is revised after award, a clause reflecting the updated policy may be incorporated into the award.

For more information regarding research projects involving human subjects, contact Jason Boehm, Director, NIST Program Coordination Office (e-mail: jason.boehm@nist.gov; phone: (301) 975-8678.

- g. Research Applications Involving Live Vertebrate Animals.** Any application that includes research activities involving live vertebrate animals, that will be cared for,

euthanized, or used by participants in the research described in the application to accomplish research goals, teaching, or testing, must meet the requirements of the Animal Welfare Act (7 U.S.C. § 2131 et seq.), 9 C.F.R. Parts 1, 2, and 3, and if appropriate, 21 C.F.R. Part 58. In addition, such applications should be in compliance with the National Research Council's "Guide for the Care and Use of Laboratory Animals (8th edition)," (the Guide) which can be obtained from National Academy Press, 500 5th Street, N.W., Department 285, Washington, DC 20055, or online at <http://grants.nih.gov/grants/olaw/Guide-for-the-Care-and-Use-of-Laboratory-Animals.pdf>.

The requirements described above do not apply to proposed research using preexisting images of animals or to research plans that do not include live animals. The requirements also do not apply to obtaining stock items from animal material suppliers (e.g., tissue banks), such as cell lines and tissue samples, or from commercial food processors, where the vertebrate animal was euthanized for food purposes and not for sample collection. NIST does require documentation for obtaining custom samples from live vertebrate animals from animal material suppliers and other organizations (i.e., universities, companies, and government laboratories, etc.). Custom samples includes samples from animal material suppliers, such as when a catalog item indicates that the researcher is to specify the characteristics of the live vertebrate animal to be used, or how a sample is to be collected from the live vertebrate animal.

Some "field studies" of animals may be exempt under the Animal Welfare Act from full review and approval by an animal care and use committee, as determined by each institution. Field study is defined as "...a study conducted on free-living wild animals in their natural habitat." However, this term excludes any study that involves an invasive procedure or that harms or materially alters the behavior of an animal under study. Field studies, with or without invasive procedures, may also require obtaining appropriate federal or local government permits (e.g., marine mammals, endangered species etc.)

The applicant should clearly indicate in the application, by separable task, all research activities believed to include research involving live vertebrate animals, the institution(s) where the research activities involving live vertebrate animals may be conducted, and if any special permits are required.

NIST reserves the right to make an independent determination of whether an applicant's research activities involve live vertebrate animals, custom samples from, or field studies with live vertebrate animals. If NIST determines that the application includes research activities, field studies or custom samples involving live vertebrate animals, the applicant will be required to provide additional information for review and approval. If an award is issued, no research activities involving live vertebrate animals subjects shall be initiated or costs incurred for those activities under the award until the NIST Grants Officer issues written approval.

If an application appears to include research activities, field studies or custom sample collections involving live vertebrate animals the following information may be requested from the applicant during the application review process:

- (1) The name(s) of the institution(s) where the research involving live vertebrate animals will be conducted and/or custom samples collected;
- (2) The assurance type and number, as applicable, for the cognizant Institutional Animal Care and Use Committee (IACUC) where the research activity is located. [For example: Animal Welfare Assurance from the Office of Laboratory Animal Welfare (OLAW) should be indicated by the OLAW assurance number, i.e. A-1234; a USDA Animal Welfare Act certification should be indicated by the certification number i.e. 12-R-3456; and an Association for the Assessment and Accreditation of Laboratory Animal Care (AAALAC) should be indicated by AAALAC.
- (3) The IACUC approval date for the Animal Study Protocol (ASP) (if currently approved);
- (4) If the review by the cognizant IACUC is pending, the estimated start date for research involving vertebrate animals;
- (5) If any assurances must be obtained or IACUCs must be established, those details should be clearly provided for each instance.
- (6) If any special permits are required for field studies, those details should be clearly provided for each instance.

Additional documentation may be requested by NIST during review of the application and may include the following for research activities and/or custom sample collections involving live vertebrate animals that are planned in the first year of the award:

- (1) A signed (by the Principal Investigator) copy of the IACUC approved ASP;
- (2) Documentation of the IACUC approval indicating the approval and expiration dates of the ASP; and
- (3) If applicable, a non-duplication-of-funding letter if the ASP is funded from several sources.
- (4) If a new ASP will only be submitted to an IACUC if an award from NIST issued, a draft of the proposed ASP may be requested.
- (5) Any additional clarifying documentation that NIST may request during review of applications to perform the NIST administrative review of research involving live vertebrate animals (e.g., documentation of special permits).

This clause reflects the existing NIST policy for Research Involving Live Vertebrate Animals. Should the policy be revised prior to award, a clause reflecting the policy current at time of award may be incorporated into the award.

If the policy is revised after award, a clause reflecting the updated policy may be incorporated into the award.

For more information regarding research projects involving live vertebrate animals, contact Linda Beth Schilling, Chair, NIST Animal Care & Use Committee (e-mail: linda.schilling@nist.gov; phone: (301) 975-2887).

- h. Funding Availability and Limitation of Liability.** Funding for the program listed in this FFO is contingent upon the availability of appropriations. In no event will NIST or DoC be responsible for application preparation costs if this program fails to receive funding or is cancelled because of agency priorities. Publication of this FFO does not oblige NIST or DoC to award any specific project or to obligate any available funds.
- i. Certifications Regarding Federal Felony and Federal Criminal Tax Convictions, Unpaid Federal Tax Assessments and Delinquent Federal Tax Returns.** In accordance with Federal appropriations law, an authorized representative of the selected applicant(s) may be required to provide certain pre-award certifications regarding federal felony and federal criminal tax convictions, unpaid federal tax assessments, and delinquent federal tax returns.

3. Reporting

- a. Reporting Requirements.** The following reporting requirements described in Sections A.01 Performance (Technical) Reports and B.02 Financial Reports of the DoC Financial Assistance Standard Terms and Conditions dated December 26, 2014, <http://go.usa.gov/hKbj>, apply to awards in this program:
 - (1) Financial Reports.** Each award recipient will be required to submit an SF-425, Federal Financial Report on a quarterly basis for the periods ending March 31, June 30, September 30, and December 31 of each year. Reports will be due within 30 days after the end of the reporting period to the NIST Grants Officer and Grants Specialist named in the award documents. A final financial report is due within 90 days after the end of the project period.
 - (2) Performance (Technical) Reports.** Each award recipient will be required to submit a technical progress report to the NIST Grants Officer and the Federal Program Officer on a quarterly basis for the periods ending March 31, June 30, September 30, and December 31 of each year. Reports will be due within 30 days after the end of the reporting period. A final technical progress report shall be submitted within 90 days after the expiration date of the award. Technical progress reports shall contain information as prescribed in 2 C.F.R. § 200.328.
 - (3) Patent and Property Reports.** From time to time, and in accordance with the Uniform Administrative Requirements (see Section VI.2.a. of this FFO) and other terms and conditions governing the award, the recipient may need to submit property and patent reports.
- b. Audit Requirements.** 2 C.F.R. Part 200, Subpart F, adopted by the Department of Commerce through 2 C.F.R. § 1327.101 requires any non-Federal entity (*i.e.*, including non-profit institutions of higher education and other non-profit organizations) that

expends Federal awards of \$750,000 or more in the recipient's fiscal year to conduct a single or program-specific audit in accordance with the requirements set out in the Subpart. Applicants are reminded that NIST, the DoC Office of Inspector General or another authorized Federal agency may conduct an audit of an award at any time.

- c. Federal Funding Accountability and Transparency Act of 2006.** In accordance with 2 C.F.R. Part 170, all recipients of a Federal award made on or after October 1, 2010, are required to comply with reporting requirements under the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282). In general, all recipients are responsible for reporting sub-awards of \$25,000 or more. In addition, recipients that meet certain criteria are responsible for reporting executive compensation. Applicants must ensure they have the necessary processes and systems in place to comply with the reporting requirements should they receive funding. Also see the *Federal Register* notice published September 14, 2010, at 75 FR 55663 available here <http://go.usa.gov/hKnQ>.

VII. Agency Contact(s)

Questions should be directed to the following contact persons:

Subject Area	Point of Contact
Programmatic and Technical Questions	Dean Prochaska Phone: 301-975-2214 E-mail: dean.prochaska@nist.gov or Karla Sims Phone: 301-975-4878 E-mail: karla.sims@nist.gov
Technical Assistance with Grants.gov Submissions	Christopher Hunton Phone: (301) 975-5718 Fax: (301) 975-8884 E-mail: christopher.hunton@nist.gov or Grants.gov Phone: (800) 518-4726 E-mail: support@grants.gov
Grant Rules and Regulations	Scott McNichol Phone: 301-975-5603 Fax: (301) 973-8884 E-mail: scott.mcnichol@nist.gov