The Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Nuclear Forensics Research Awards

.

All entities wishing to do business with the federal government must have a unique entity identifier (UEI). Currently, the DUNS number, which is a unique nine-character identification number provided by Dun & Bradstreet (D&B) free of charge, is the official UEI. D&B assigns UEI (DUNS) for each physical location of a business. Requesting a UEI (DUNS) takes about 10 minutes. Receiving a UEI (DUNS) takes 1–2 business days (under normal circumstances) when using the D&B web form. Sam.gov information can be found at: https://sam.gov/content/entity-registration.

Grants.gov registration information can be found at: https://www.grants.gov/web/grants/register.html. **Detailed information regarding DUNS and SAM is also provided in Section D of this NOFO.**

Planned UEI Updates in Grant Application Forms

On April 4, 2022, the Data Universal Numbering System (DUNS) Number will be replaced by a "new, non-proprietary identifier" requested in, and assigned by, the System for Award Management (SAM.gov). This new identifier is being called the Unique Entity Identifier (UEI).

Additional Information can be found on Grants.gov:

https://www.grants.gov/web/grants/forms/planned-uei-updates.html

A. Program Description

1. **Issued By**
   U.S. Department of Homeland Security (DHS), Countering Weapons of Mass Destruction (CWMD) Office, Systems Support Directorate (SSD), Research & Development Division

2. **Assistance Listings Number:** 97.130

3. **Assistance Listings Title:** National Nuclear Forensics Expertise Development Program Nuclear Forensics Research Award

4. **Funding Opportunity Title**
   Nuclear Forensics Research Awards

5. **Funding Opportunity Number**
   DHS-22-DN-130-NFRA-001

6. **Authorizing Authority for Program**
   Nuclear Forensics and Attribution Act (Public Law 111-140; Sec. 4(a)(12)., Public Law 111-140, US Code 4(a)(12)

7. **Appropriation Authority for Program**
   Consolidated Appropriations Act, 2021 (P.L. 116-260), Division F – Department of Homeland Security Appropriations Act, 2021, Countering Weapons of Mass Destruction Office, Research and Development Division

8. **Announcement Type**
   New

9. **Program Category**
   Cooperative Agreement - Nuclear Forensics Research Award

10. **Program Overview, Objectives, and Priorities**

    Overview. The National Technical Nuclear Forensics Center (NTNFC) was established on October 1, 2006, within the U.S. Department of Homeland Security (DHS). NTNFC was tasked with two core missions: to provide national-level integration, centralized planning, and stewardship for the National Technical Nuclear Forensics (NTNF) community; and to lead the U.S. Government (USG) in establishing a robust and enduring pre-detonation radiological/nuclear materials forensics capability. A top priority of NTNFC's stewardship mission is to lead USG efforts in addressing the enduring challenge of sustaining a preeminent Nuclear Forensics (NF) workforce.

    The National Nuclear Forensics Expertise Development Program (NNFEDP) works to build a nuclear forensics workforce of recognized technical experts and leaders through fostering scholastic and research collaboration between and among academia, the national and defense laboratories, and the National Technical Nuclear Forensics (NTNF) Interagency. The implementation of the NNFEDP fulfills the requirements outlined in the Nuclear Forensics and Attribution Act (P.L.111-140) signed by President Obama on February 16, 2010. This program also aligns with Goal 1 of the DHS Strategic Plan fiscal years 2020-2024: "Counter Terrorism and Homeland Security Threats" and Objective 1.4: "Counter Weapons of Mass Destruction and Emerging Threats".

    To accomplish this mandate, the following initiative has been implemented:

    The Nuclear Forensics Research Award (NFRA) supports the establishment of a team of faculty, students, and technical staff at the national or defense laboratories to conduct research in the field of nuclear forensics.

Objectives.

1. *Recruit and produce a new generation of leaders and technical experts in a wide range of fields relevant to nuclear forensics.*

   The NFRA is designed to link a qualified graduate student with a nuclear forensics-relevant research project, that will serve as the basis of his or her thesis and be completed through work at a partner laboratory and the student's home university. Through faculty and laboratory staff participation, a collaborative research process is established through which this graduate fellow is jointly mentored, further enhancing his or her understanding of the nuclear forensics field.

   The NFRA sponsors two graduate fellows per award to pursue Ph.D. - level research within the nuclear forensics field. The award includes full tuition and a stipend for up to 60 months, or five years. To maintain eligibility for the fellowship, students must meet requirements outlined in the Terms of Appointment (TOA) in Appendix A.

   Additionally, the NFRA sponsors the participation of two or more undergraduate student(s). To maintain eligibility, the graduate student(s) will be required to spend at least nine weeks performing hands-on research at the collaborating laboratory as well as maintain a minimum of a 3.0 out of 4.0 grade point average (GPA). The undergraduate student(s) may remain on the research project for as long as the eligibility requirements are met.

2. *Enhance the ability for universities and the national and defense laboratories to work collaboratively on advanced research that increases the body of knowledge in the field of nuclear forensics.*

   The NFRA is designed to facilitate a multi-year process to build long-term collaborative partnerships among the laboratories, universities, and the next generation of nuclear forensics experts. These partnerships will provide universities opportunities to participate in research that directly supports USG NF strategic goals.

   The Faculty Principal Investigator (PI) will directly oversee the university's participation in the research project and will make joint decisions with the Laboratory PI concerning the path of the project. Multi-university proposals with a collaborative laboratory partner are allowable under the NFRA structure.

Key Personnel. Key Personnel under the NFRA include the university faculty PI, national or defense laboratory co-PI, and identified graduate fellows. All Key Personnel should be U.S. Citizens at the time of application and be able to obtain and maintain a security clearance.

Obligations. Upon graduation, the named graduate fellow is obligated to serve for two years in a postdoctoral or staff position at a national or defense laboratory or federal department or agency in the field of nuclear forensics.

In accordance with the Nuclear Forensics and Attribution Act, should the graduate fellow not comply with the TOAs, he or she must repay the fellowship grant in total to the U.S. Government. The fellowship total to be repaid includes both the stipend and tuition, with interest per the prevailing rate of graduate student loans at the time the student received the award. More information can be found in Appendix A.

Technical Priorities. NF addresses a diverse set of topics related to the collection, analysis, and evaluation of pre-detonation (intact) and post-detonation (exploded) radiological or nuclear materials, devices, and debris, as well as the immediate effects created by a nuclear detonation. Each grant application will be evaluated based on the information provided in Evaluation Criteria under the Application Review Information section. Technical Mission Areas (TMAs) included below, reflect the technical priorities of the NNFEDP and NFRA and should be taken into consideration when developing a research project.

TMA 1. Pre-Detonation Material and Device Signatures

Physical, chemical, and isotopic characteristics of a radiological or nuclear material can be used to determine aspects of the material's history and are therefore important to nuclear forensics. In general, a nuclear forensic signature is a set of measurable characteristics that points to the origin or history of a sample and may specifically include or exclude the sample from a specific class or category of materials. Physical signatures may include morphology, texture, size, and shape of a material or parts of the device. Chemical signatures may include the elemental or molecular form of the material (e.g., uranium dioxide, plutonium oxalate) and abundances of impurities in the sample. Isotopic signatures reflect the isotopic composition of a sample (indicating its enrichment, burnup, intended or actual use) and may be used to derive the time since the material was last processed chemically. The R&D focus in these areas includes production, acquisition, and/or retrieval of radiological and nuclear materials of historical interest; laboratory analysis of the materials to document their characteristics; development of production and processing models relating processing parameters (chemical, physical, engineering, machining) to observed product characteristics; assessment of which characteristics persist through (or are modified by) various stages of the production, storage, and transport processes; development of libraries of material characteristics; and ultimately evaluation of material characteristics (or combination of characteristics) for their uniqueness or value as nuclear forensics signatures.

TMA 2. Pre-Detonation Analysis Methods and Tools

While current methods of sample analysis and data interpretation provide a highly sophisticated level of material characterization and classification, even more advanced methods are required to identify new signatures and enable new insights into material provenance. R&D priorities in this area include development of new laboratory analytical methods for determination of spatially and/or temporally distinct features in radiological and nuclear materials; analytical methods that enable determination of new (i.e., previously unrecognized) characteristics and signatures in rad/nuc materials; mathematical and statistical methods to identify and evaluate correlated material characteristics; modeling and simulation tools to predict forward and inverse

relationships between physical/chemical material production processes and measurable characteristics; data visualization methods to enable improved interpretation of data relationships; and data management and knowledge capture tools to enable efficient storage, retrieval, and interpretation of diverse sets of material information.

TMA 3. Post-Detonation Material Collection and Analysis Methods
Post-detonation material R&D explores novel methods and advancements in the ability to collect samples of material, analyze radioactive debris, and identify signatures from debris analysis. The overall goal is to obtain accurate debris characterization more rapidly than is currently possible, and to do so in all environments and conditions. Chronologically, this starts with targeted airborne and ground collection methods that are robust under a wide variety of adverse conditions. Methods with the potential to enable remote characterization and quantification of airborne debris are of interest, as are methods that combine collection and analysis, and field deployable systems, with real-time analysis capability. Following sample collection, improved methods are sought for rapid dissolution and pre-concentration of post-detonation debris using environmentally friendly, potentially field-deployable, techniques on a reasonable time scale. The R&D focus for sample analysis includes non-destructive analytical techniques; innovations that rapidly identify and quantify elemental and isotopic constituents (major, minor, and trace) in fresh radioactive fallout debris; and fundamental phenomenology of laser spectroscopy, mass spectrometry, and associated ionization methods. Improvements are also sought in data handling methodologies for compiling, assessing, and interpreting large sets of data; advancing the treatment of data uncertainties; and improving databases of physical constants, such as nuclear cross sections, decay branching ratios, or nuclear energy levels relevant to nuclear forensic analysis.

TMA 4. Post-Detonation Prompt Signal Analysis
Post-detonation prompt signal analysis explores R&D that may enable accurate knowledge of the specifics of a nuclear device (e.g., special nuclear material type and mass, device sophistication, etc.) after a detonation. Ideally this knowledge would be available in as short a time as possible with a high degree of confidence. This topic investigates basic physical research on the prompt signatures of nuclear explosive events, such as novel methods for yield determination, device reaction history, or the radiation outputs of these nuclear explosions. Research could focus on the understanding of unique identifiers of these explosions, measurements of these identifiers, or other topics. In this context, prompt signatures indicate those which can be measured instantaneously to within a few days after the event. These signatures are generally separate from radiochemical signatures.

11. Performance Measures

The NNFEDP adheres to program measurement and evaluation standards in accordance with CWMD and other Government policies and guidance.

Government Program Managers and staff will monitor progress toward goal achievement through periodic program reviews and review of required reports (template

provided post award). Proposal submissions must clearly define immediate project targets and year end project milestones for which performance can be qualitatively and quantitatively measured. Progress toward project milestones, cost, and schedule will be considered during project reviews in determining project continuances.

Information from proposal submissions and required reports may also be used for DHS-led NNFEDP evaluation, which may be carried out by a third-party on behalf of the Program Office or DHS.

B. Federal Award Information

1. **Available Funding for the NOFO:**
   Subject to the availability of funds, DHS estimates that total of $465,000 per year will be available to fund each NFRA award, with $300,000 for the academic partner, and a subaward to the laboratory partner of $165,000. DHS does not guarantee any total amount of annual or cumulative funding.

2. **Projected number of Awards:** One (1) or more based on available funding.

3. **Maximum Award Amount:**
   $300K per year for 5 years ($1,500,000) for the academic partner, and $165,000 per year for 5 years ($825,000) for the national laboratory partner.

4. **Period of Performance:** 36 months guaranteed, with an additional 2 option years. DHS anticipates the period of performance of awards to range from three to no more than five program years with each program year set at 12 months**.**

5. **Projected Period of Performance Start Date(s):** 9/30/2022

6. **Projected Period of Performance End Date(s):** 9/29/2025

7. **Funding Instrument Type:**
   Cooperative Agreement – The Program Office will have substantial involvement in the administration of the award, including tracking of faculty and student participants, publications, patents, and research progress. The recipient will be required to maintain close and regular interaction with the Program Office, including a) quarterly and annual reports providing updates on the research, graduate student progress, and any issues related to students, universities, or laboratories involved in the program, b) monthly financial reporting including funding levels and expenditures, and monthly technical reports, c) regular in-person or virtual meetings to discuss award progress.

C. Eligibility Information

1. **Eligible Applicants**

   The following entities below are eligible to apply for this NOFO*:*
   - Private institutions of higher education
   - Public & State controlled institutions of higher education

IMPORTANT: Academic respondents are expected to partner with a U.S. Department of Energy national laboratory or Department of Defense laboratory for this award.

2. **Applicant Eligibility Criteria**

Organization Limit.
The following listed below are organizations that are eligible and encouraged to submit a proposal:

- Universities. Universities accredited by a U.S. Department of Education recognized accrediting agency, and having a campus located in the U. S, and U.S. territories.
- Organizations are referred to as academic institutions for the purposes of this Solicitation.
- All non-academic institutions regardless of profit or non-profit status are ineligible to apply.

3. **Applicant Eligibility Criteria**

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

- **University Programs.** Universities must have doctorate-level programs in related chemistry fields such as, analytical, geo- or radiochemistry; nuclear physics or engineering; computer science, physics, mathematics, geology, or materials science. Applications must include active participation from these doctoral programs.
- **Citizenship.** All Key Personnel must be U.S. citizens at the time of proposal submission.
- **Clearance Eligibility.** All Key Personnel must be eligible to obtain and/or maintain a clearance if requested by the Program Office.

4. **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 for a given topic will not be considered.
5. **Project Period.** Applications exceeding the project period of performance will not be considered.
6. **Principal Investigator (PI) Limit**. None specified
7. **Limit on Number of Proposals per Organization**. None specified
8. **Limit on Number of Proposals per PI.** One (1). Furthermore, an individual

researcher may not be named as a participant on more than one proposal submitted to this solicitation. This limitation includes participation as a PI, co-PI, senior researcher, student, consultant, or any other role for which financial remuneration is requested.

5. **Maintenance of Effort (MOE)**
   Not applicable

6. **Cost Share or Match**
   Cost share or match is prohibited in this NOFO.

D. Application and Submission Information

1. **Key Dates and Times**

   a. **Application Start Date:** 07/15/2022

   b. **Application Submission Deadline:** 08/30/2022 at 5PM [EST]

   c. **Anticipated Funding Selection Date:** **No later than** 09/15/2022

   d. **Anticipated Award Date:** **No later than** 09/30/2022

   e. **Other Key Dates**

Event	Suggested Deadline for Completion
Informational Webinar	**08/03/22 (3:00PM EST) See details below**
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

2. **Agreeing to Terms and Conditions of the Award**
   By submitting an application, applicants agree to comply with the requirements of this NOFO and the terms and conditions of the award, should they receive an award.

3. **Address to Request Application Package**
   Application forms and instructions are available at Grants.gov. To access these materials, go to http://www.grants.gov.

   For a hardcopy of the full NOFO, please send a request to:

   Shareef Prater
   Grants Officer
   Grants and Financial Assistance Division

Department of Homeland Security
Email: Shareef.Prater@hq.dhs.gov
Phone: 202.770.4776

Applications will be processed through the Grants.gov portal.

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

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

a. Apply for, update, or verify their Data Universal Numbering System (DUNS) Number from Dun & Bradstreet (D&B) and Employer ID Number (EIN)
b. In the application, provide a valid Data Universal Numbering System DUNS number, which is currently the unique entity identifier;
c. Have an account with https://login.gov/;
d. Register for, update, or verify their SAM account and ensure the account is active before submitting the application;
e. Create a Grants.gov account;
f. Add a profile to a Grants.gov account;
g. Establish an Authorized Organizational Representative (AOR) in Grants.gov;
h. Submit (if applicable, add: an initial) application in Grants.gov;
i. (If applicable) Submit the final application in the <insert applicable system>; and
j. Continue to maintain an active SAM registration with current information, including information on a recipient's immediate and highest-level owner and subsidiaries, as well on all predecessors that have been awarded a Federal contract or grant within the last 3 years, if applicable, at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency.

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

5. Electronic Delivery

DHS is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS encourages or requires applicants to submit their applications online through Grants.gov, depending on the funding opportunity. For this funding opportunity, the Program Office requires applicants to submit applications through Grants.gov.

6. How to Register to Apply through Grants.gov

a. *Instructions*: Registering in Grants.gov is a multi-step process. Read the instructions below about registering to apply for DHS funds. Applicants should read the

registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

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

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this grant funding opportunity, then you may begin with step 3, Create a Grants.gov account, listed below.

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

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

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

2) *Register with SAM*: All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

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

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

4) *Add a Profile to a Grants.gov Account*: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of

your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile.

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

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

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

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

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

7. How to submit an Application to DHS via Grants.gov

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

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

a. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

b. *Complete a Workspace*: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

c. *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

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

d. *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

e. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

f. *Submit a Workspace*: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

g. *Track a Workspace Submission*: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

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

   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 to which you are applying.

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

8. Submitting the Final Application in *[another grant system]*

Not applicable

9. Timely Receipt Requirements and Proof of Timely Submission

a. *Online Submission.* All applications must be received by 3 PM Eastern 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 attempting to submit the application. 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.

10. Informational Webinar

DHS will conduct an informational webinar for interested applicants on **August 3, 2022 at 3:00pm [EST].** During the call, DHS will discuss the NOFO and provide an opportunity for interested applicants to ask questions. The following is the link for the NFRA Informational Webinar: NFRA NOFO Informational Webinar

11. Content and Form of Application Submission

Mandatory forms must be completed for this announcement, including the SF-424 (Application for Federal Assistance), SF-424A (Budget), and other forms in accordance with the application instructions on Grants.gov and additional instructions below. If submitting any information that is deemed proprietary, please denote the beginning and ending of such information with asterisks (***).

MANDATORY FORMS

- **SF424 (R&R) Application for Federal Assistance (SF424-V2.0)**
  Please complete this form in its entirety. If you fill this form out first, other required forms will populate with basic data such as name, address, etc. Signature and date will auto-fill when you submit the application package through Grants.gov.
  a. Block 1, Type of Submission – Please check "Application."
  b. Block 8, Type of Application – Please check "New."
  c. Block 12, Proposed Project – Enter Dates of Entire Project Period

d. Block 15a, Estimated Project Funding – Please check $465,000
e. Block 16, E.O. 12372 review question – Please check "No."
f. Block 17 - By submitting this application, your organization is providing certifications and assurances regarding:
    i. Drug-Free Workplace Requirements
    ii. Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions
    iii. Assurance that your organization is not delinquent on any Federal debt.

- **Research & Related (R&R) Budget**
  An R&R Budget is required for ALL applications. Please ensure that the total amount requested corresponds to Block 15.a on the SF 424 R&R form.
  Include up to three to five annual budgets, one for each year of the duration of the award; a cumulative budget will be automatically generated by Grants.gov. A detailed budget justification (up to three pages) should document proposed expenses. Multi-university proposals should use the award-sub award proposal mechanisms or the collaborative mechanism. Attach an expanded equipment list (see item C on R&R Budget Form) if necessary.

  Funds must be included in each year of the proposal budget for attendance at an annual meeting as required by the Program Office, as described under Funding Restrictions. For budgetary purposes, the workshop may be assumed to be in the U.S. and be up to four days duration. This workshop will be a primary mechanism for the Program Office and other NTNF interagency partners to assess progress and mitigate any issues on individual projects.

- **Budget Justification**
  A Budget Justification is required for all applications. Please ensure that items listed in the budget justification correspond to the funds requested on the R&R Budget form. Attach the Budget Justification to the R&R Budget form. If you need to attach more than one file to fully capture your budget justification, you may use the optional "Attachments" form.
  Please use the following guidance when assembling your budget justification:
  Use the following cost categories to group items of cost in your budget justification.
  PERSONNEL
  FRINGE BENEFITS
  TRAVEL
  EQUIPMENT (see item C on R&R Budget Form)
  SUPPLIES (see item F.1 on R&R Budget Form)
  CONTRACTUAL (see item F.5 on R&R Budget Form)
  OTHER DIRECT COSTS (see items under item F on R&R Budget Form)
  INDIRECT COSTS

  If you wish to display your budget justification by task, please ensure that you supply a total for each of the cost categories listed above (and related fields on the R&R Budget Form) for the proposed budget period in your application.

- **Project/Performance Site Location(s)**
  Please provide information for every site (including any subcontractors with sub-awards or subcontracts of $25,000 or more) in your project.
- **SF 424B Assurances for Non-Construction Programs**
  Submit this form. It will be electronically signed upon submission to Grants.gov as part of your application.
- **Certification Regarding Lobbying (GG_Lobbying Form-V1.1)**
  Submit this form. If paragraph two of the certification applies, then complete and submit the SF-LLL Disclosure of Lobbying, which is provided as an optional form in the application package.
- **Research & Related Senior/Key Person Profile**
  Please supply biographical information on Key Personnel. The files can be attached at item 12 on the "Other Project Information Form" or use the optional "Attachments" form.

Proposal Preparation Instructions:

1. **Cover Sheet:**
   The cover sheet is provided in Appendix B. Note: for a proposal ID, please follow the following naming convention:
   NTNFNOFO22-XXXX-YYYY-TMA-0#-0## XXXX = four letter (maximum 4 letter) character shortcut for organization name
   YYYY = four letter (maximum 4 letter) character shortcut for department/division name
   # = Technical Mission Area number
   ## = number of proposal submission

   Example: Organization A, Dept. B's submission for its first proposal to topic 01 would have the ID listed: ORGA-DEPB-TMA-01-001

2. **Project Summary**
   This space is limited to 200 words or less. Applicants should provide an overview of the research project and how PIs will effectively conduct the research as a team, integrating the graduate fellow and undergraduate participant. All highlights of the proposal should be listed here. The information provided on the Summary Page may be used as a public information document. Please do not include any proprietary information in this section of the application.

3. **Project Narrative:**
   This is the main body of the application and should provide clear and specific statements regarding the proposed research. This section should demonstrate the applicant's understanding of nuclear forensics as an applied science and how the proposed program aligns with U.S. Government TMAs as outlined on pages three-five.

   Describe the goals of the proposed research, approaches, and methodologies to attain the goals, and the expected outcomes. The narrative should include how the university and national or defense laboratory will jointly manage the proposed research project, to include student participation. Please include a proposed project

timeline, listing milestones as appropriate.

Also articulate how the research project will offer opportunities for underrepresented minority groups and women, if applicable. The description of work should demonstrate congruency with the Evaluation Criteria (please refer to Section E).

High-risk proposals with the potential for high impact are encouraged. The Management Plan, Project Narrative, and References Cited sections are limited to a total of ten (10) pages. The following sections on Key Personnel and the Mentoring Plan are limited to a total of five (5) pages.

4. **Proposed Research:** Narrative consisting of the following items:
    - An explanation of the scientific context, intellectual merit, relevance to the technical mission areas on pages three-five, potential long-term impact and timeliness of the proposed project;
    - A detailed description of the proposed research, its goals, objectives and milestones, and any substantive risks and risk mitigation strategies;
    - If appropriate, a discussion of the multidisciplinary approach taken and its proposed benefits;
    - A description of the contribution to be made by Key Personnel;
    - A description of how project progress will be tracked and continuously evaluated; and
    - A timeline for the planned work.

5. **Management Plan:** Narrative describing:
    - Demonstration of effective and appropriate financial controls, budget processes, administrative oversight, and personnel management;
    - How the project will be coordinated, including any use of cyberinfrastructure;
    - How decisions will be made regarding the conduct of the project; and
    - How the effectiveness of the collaboration will be evaluated.

6. **Mentoring Plan:** Narrative describing:
    - Establishment of a mentoring process, including goals, defining roles and responsibilities, and describing communication methods, for co-mentoring of the graduate fellow;
    - How the design will be implemented; and
    - How the effectiveness of mentoring will be evaluated.

7. **References Cited:**
   References should include full titles of articles and book chapters cited. This section should include bibliographic citations only and must not be used to provide parenthetical information outside of the project description. Indicate with an asterisk (*) references co-authored by two or more proposal investigators.

8. **Formatting:** The format applies to items 2-6 above:
    a. Margins – Margins for length and width should be at least one (1) inch.
    b. Page formatting – Use standard, single-column format.

c. Figures, Tables, Diagrams – Use captions and appropriate references with at least size 10 font for caption descriptions.
d. Spacing – Use least single spacing (for size 12 font and higher) and use single and a half (for size 11)
e. Font and size (except for item c above) - Use Calibri or Times New Roman font at size 11 or larger.

Unique Entity Identifier and System for Award Management (SAM)
DHS is participating in the Grants.gov initiative that provides the grant community a single site to find and apply for grant funding opportunities; therefore, applicants with electronic access are to submit their applications electronically through http://www.grants.gov/web/grants/applicants/apply-for-grants.html. Before you can apply for a DHS grant at Grants.gov, you must have a DUNS number, be registered in SAM, and be approved as an Authorized Organizational Representative (AOR).

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.

DUNS number. Instructions for obtaining a DUNS number can be found at the following website: http://www.grants.gov//web/grants/applicants/organization-registration/step-1-obtain-duns-number.html. The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the Standard Forms (SF)-424 forms submitted as part of this application.

System for Award Management: In addition to having a DUNS number, applicants applying electronically through Grants.gov must register with SAM. Step-by-step instructions for registering with SAM can be found here: http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html. Failure to register with SAM will result in your application being rejected by Grants.gov during the submissions process.

Authorized Organizational Representative: The next step in the registration process, is to create a username and password with Grants.gov to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions. To read more detailed instructions for creating a profile on Grants.gov visit: http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html.

12. Other Submission Requirements
All files submitted in the application shall be in .pdf format. Limit filenames to 50 characters.

13. Intergovernmental Review
An intergovernmental review may be required. Applicants must contact their state's

Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372.

(See *https://www.archives.gov/federal-register/codification/executive-order/12372.html*; *https://www.whitehouse.gov/wp-content/uploads/2019/02/SPOC-February-2019.pdf*).

14. Funding Restrictions

a. **Award Size**: DHS intends to fund one or more awards in 2022.
Funding under the NFRA will be the following:

- University research support will be funded at $300,000 per year for three years, with an additional two option-years based on performance.
- National or defense laboratory collaborators will be funded separately at $165,000 per year.

b. **Students:** Students supported under this project are classified as trainees and must be United States citizens.

c. **Kick-Off:** This meeting will be held remotely or on-site to discuss in detail the technical and programmatic aspects of the proposed research.

d. **Collaboration Meeting:** Periodic Collaboration Meetings will enable the awardees to review progress, exchange information, and promote and foster collaboration. It is required that all PIs and the graduate student supported through this award attend and participate in these meetings in their entirety.

e. **Foreign Travel:** Foreign travel required in the performance of the duties approved in this award must be approved by DHS in advance and in writing and comply with the applicable OMB Cost Principles Circular. Requests for foreign travel identifying the traveler, the purpose, the destination, and the estimated travel costs must be submitted to the DHS Grants Officer 60 days prior to the commencement of travel.

f. **Funding:** Funding beyond the first year will be dependent upon satisfactory performance and the continued availability of funds.

15. Allowable Costs

a. **Pre-Award Costs**
Not allowed

b. **Management and Administration (M&A) Costs**
M&A are not operational costs but are necessary costs incurred in direct support of the grant or cooperative agreement or as a consequence of it, such as travel, meeting-related expenses, and salaries of full-/part-time staff in direct support of the program. As such these can be itemized in financial reports**.**

c. **Indirect Facilities and Administrative (F&A) Costs**

Indirect Costs (IDC) are allowable by the recipient and sub-recipients. IDC are based on a federally approved and negotiated rate. Please provide a copy of the negotiated rate approved by the applicant's cognizant agency at the time of application. Indirect costs on subawards are limited to the first $25,000 of direct costs.

E. Application Review Information

1. Application Evaluation Criteria

a. Programmatic Criteria

The evaluation of proposals submitted in response to this NOFO will be accomplished through independent technical reviews using the following criteria, which are of equal importance.

Criterion I: Scientific and Technical Merit
The following elements will be considered and evaluated:

- The application is responsive to the Technical Mission Areas outlined in the Technical Priorities Section of the NOFO.
- The intellectual merit of the proposed research will serve to advance knowledge and understanding within the related technical field and/or across multiple related disciplines.
- The proposed University PI and National Laboratory Co-PI have the necessary experience (including prior, if applicable) and expertise to conduct the proposed research.
- The proposed research project addresses at least the following in a clear and complete manner: goals, schedule, methodology, and expected outcome.
- The proposed research exhibits creative, original (non-duplicative), innovative, and/or potentially transformative concepts.
- The dissemination of the results will broadly enhance scientific and technological understanding that may be beneficial to the nuclear forensics community.

Criterion II: Student Component
The following elements will be considered and evaluated:

- The proposed graduate fellows pursuing or planning to pursue doctoral study in specialties directly relevant to nuclear forensics, which include, but are not limited to:
    - Analytical, Geo- and Radiochemistry;
    - Nuclear or General Physics;
    - Material Science;
    - Nuclear Engineering;
    - Computer Science;
    - Geology; and
    - Mathematics.
- The proposed graduate fellows have at least 36 months of graduate work remaining at the beginning of the period of performance.
- The graduate fellows agree to the TOAs outlined in Appendix A of the NOFO.
- At least two undergraduate students are actively integrated into the research

process, including a plan to provide opportunities to perform research at the collaborating laboratory.

- The mentoring plan addresses at least the following in a clear and complete manner: roles and responsibilities, implementation, and periodic evaluation.
- The research activity will advance discovery and understanding while promoting teaching, training, and learning to support fostering the next generation of scientists and engineers.

Criterion III: Collaboration Concept and Management Plan
The following elements will be considered and evaluated:

- A direct, formalized agreement has been established between the University and a collaborating national or defense laboratory.
- The proposed activity will broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.).
- An effective Management Plan which outlines project administration, coordination, and administrative processes.

b. **Financial Integrity Criteria**
Prior to making a federal award, the Program Office is required by 31 U.S.C. §3321 note, 41 U.S.C. §2313, and 2 C.F.R. §200.205 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk-based considerations of the applicant:

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

c. **Supplemental Financial Integrity Criteria and Review**
Prior to making a federal award where the anticipated total federal share will be greater than the simplified acquisition threshold, currently $250,000 (see Section 805 of the National Defense Authorization Act for Fiscal Year 2018, Pub. L. No. 115-91, OMB Memorandum M-18-18 at https://www.whitehouse.gov/wp-content/uploads/2018/06/M-18-18.pdf):

1) The Program Office is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM, which is currently the Federal Awardee Performance and Integrity Information System (FAPIIS) and is accessible through the sam.gov website.
2) An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.
3) The Program Office will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as

described in 2 C.F.R. §200.206.

2. **Review and Selection Process**

ii. **Application Receipt:** All completed applications submitted through Grants.gov in response to this NOFO will be subjected to a technical evaluation by a panel review. This NOFO contains four TMAs. Applications that are determined non-compliant to these TMAs will not be considered for technical evaluation. Additionally, applications that do not identify a graduate student for participation or a national or defense laboratory collaborator will not be considered.

iii. **Application Handling:** Completed applications will be handled following DHS safeguarding procedures. All application materials will be treated as confidential.

iv. **Panel Review and Reviewers:** Each application will be reviewed by at least three (3) panelists. Each panelist is a subject-matter expert (SME) assigned to the appropriate topics (TMA) based on their technical expertise. The panelists will be selected by the Program Office, which will also facilitate the review.

v. **Selection Process**

Evaluation: Reviewers will conduct their individual evaluation for each assigned application. Following the individual evaluation, a consensus review will be held to formulate a recommendation for each application. The rating of recommendations for each application will follow:

Recommended (R) – Proposals have met and/or exceed the topic requirements/objectives and will conduct successful research. Proposals under this rating are recommended for funding.
Selectable (S) – Proposals will likely satisfy the topic requirements/objectives and have a likelihood of successful research. Proposals under this rating are recommended for funding, if available.
Not Recommended (NR) – Proposals that are non-responsive to the topic area requirements/objectives and/or do not satisfy the evaluation criteria and will unlikely conduct a successful research. Proposals under this rating are not recommended for funding.

Recommendation

A summary of the recommendation and accompanying narrative will be completed by each reviewer. The Program Office will make the selection based on the consensus evaluation. Please note that decisions to fund all the recommended proposals are subjected to available funding.

When the anticipated Federal award amount will be greater than the simplified acquisition threshold, currently $150,000 (see 2 CFR §200.88), the following applies:

" 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."

After programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the DHS GFAD for review of business, financial, and policy implications. After an administrative review has occurred, grants officers will perform the processing and issuance of an award. Proposers are cautioned that only a grants officer may make commitments, obligations, or awards on behalf of DHS or authorize the expenditure of funds. No commitment on the part of CWMD should be inferred from technical or budgetary discussions with a CWMD program officer. A principal investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the DHS grants officer does so at their own risk.

F. Federal Award Administration Information

1. Notice of Award

Before accepting the award, the AOR and recipient should carefully read the award package. The award package includes 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.**

2. Pass-Through Requirements

Not applicable

3. Administrative and National Policy Requirements

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

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made, unless the application is for a continuation award. In that event, the terms and conditions in effect at the time the original award was made will generally apply. What terms and conditions will apply for the award will be clearly stated in the award package at the time of award.

4. Reporting

1) Federal Financial Reporting Requirements

1. Quarterly Federal Financial Reports – The Recipient shall submit a Federal Financial Report (SF-425) into the GrantSolutions system no later than thirty (30) days after the end of the budget period end date. Reports are due on 11/30, 2/28, 5/31, 8/31. The report shall be submitted electronically via www.GrantSolutions.gov using the submission guidance entitled, "Grantee Reporting Process: Federal Financial Report" found here: https://www.Grantsolutions.gov/support/granteeUsers.html

2. Final Federal Financial Report – the Recipient shall submit the final Federal Financial Report (SF-425) into the GrantSolutions system no later than ninety (90) days after the end of the Project Period end date. The report shall be submitted electronically using the submission guidance entitled, "Grantee Reporting Process: Federal Financial Report" found here: https://www.Grantsolutions.gov/support/granteeUsers.html

3. Quarterly Federal Financial Reports (Cash Transaction) – the Recipient shall submit the Federal Financial Report (SF-425) 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.

2) Programmatic Performance Reporting Requirements

a. **Quarterly Performance Report:** The Recipient shall submit performance reports into the GrantSolutions system no later than thirty (30) days after the end of the reporting period end date. The report shall be submitted via www.GrantSolutions.gov using the performance reporting feature and submission guidance found here: https://www.grantsolutions.gov/support/granteeUsers.html. A courtesy copy of the report should also be e-mailed to the program office at NTNFCMonthlyReports@hq.dhs.gov.

b. **Annual Project Summary and Accomplishments:** In addition to the required performance report, an updated project quad chart and summary of fiscal year accomplishments must be submitted to the Program Office, as requested by CWMD for every year of the project's duration. Specific due dates and templates will be distributed by the program office at least one month prior to the requested submission date.

c. **Final (End of Program) Performance Report Final Federal Financial Report** The Recipient shall submit the Final Performance Report into the GrantSolutions system no later than ninety (90) days after the expiration of the Project Period. The report shall be submitted via www.GrantSolutions.gov using the performance reporting feature and submission guidance found here: https://www.grantsolutions.gov/support/granteeUsers.html. A courtesy copy of the report should also be e-mailed to the program office at NTNFCMonthlyReports@hq.dhs.gov.

3) Additional Performance Reporting Requirements

The following performance metrics must be included in the Quarterly Performance Reports:

1. A summary of research conducted, to include quantifiable outcomes and any set-backs;
2. Expected research objectives/goals in the next quarter;
3. Any requests for funding and research deviations from the original proposal and a comprehensive explanation as to the reason for the request;
4. Efforts undertaken with regard to the Mentoring Plan;
5. Graduate Fellow academic and research progress;
6. Undergraduate Student academic and research progress;
7. Summary of student practical research at the collaborating national or defense laboratory (if applicable);
8. Travel and conference attendance within the last quarter and upcoming travel/conference attendance;
9. Copies of any formal presentations or articles as a result of the research; and
10. A summary of activities with regard to engagement of underrepresented groups, if applicable.

4) Closeout Reporting Requirements

Within 120 days after the end of the period of performance, or after an amendment has been issued to close out a grant, recipients must submit the following:

1) The final request for payment, if applicable;
2) The final FFR (SF-425);
3) The final progress report detailing all accomplishments;
4) A qualitative narrative summary of the impact of those accomplishments throughout the period of performance; and
5) Other documents required by this NOFO, terms and conditions of the award, or other Program Office guidance.

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 the Program Office, a closeout 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 de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR, unless a longer period applies, such as due to an audit or litigation, for equipment or real property used beyond the period of performance, or due to other circumstances outlined in 2 C.F.R. §200.334, Retention Requirements for Records.

In addition, any recipient that issues subawards to any subrecipient is responsible for closing out those subawards as described in 2 C.F.R. §200.344, Closeout. Recipients

acting as pass-through entities must ensure that they complete the closeout of their subawards in time to submit all necessary documentation and information to the Program Office during the closeout of their prime grant award.

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

5) Disclosing Information per 2 C.F.R. §180.335

This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a recipient enters into a grant award with the Program Office, the recipient must notify the Program Office if it knows if it or any of the recipient's principals under the award fall under one or more of the four criteria listed at 2 C.F.R. § 180.335:

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

At any time after accepting the award, if the recipient learns that it or any of its principals falls under one or more of the criteria listed at 2 C.F.R. § 180.335, the recipient must provide immediate written notice to the Program Office in accordance with 2 C.F.R. § 180.350.

6) Reporting of Matters Related to Recipient Integrity and Performance

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

7) Monitoring and Oversight

Per 2 C.F.R. §200.329, the Program Office, through its authorized representatives, has the right, at all reasonable times, to conduct desk reviews, make site visits to review project accomplishments and management control systems to review project accomplishments and to provide any required technical assistance. During site visits or desk reviews, the Program Office will review grant recipients' files related to the grant award. As part of any monitoring and program evaluation activities, grant recipients must permit

the Program Office, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to Program Office requests for information relating to the grant program**.**

8) Program Evaluation

Recipients and subrecipients are encouraged to incorporate program evaluation activities from the outset of their program design and implementation to meaningfully document and measure their progress towards the outcomes proposed. Title I of the Foundations for Evidence-Based Policymaking Act of 2018 (Evidence Act, Pub. L. No. 115-435 (2019)) defines evaluation as "an assessment using systematic data collection and analysis of one or more programs, policies, and organizations intended to assess their effectiveness and efficiency." Evidence Act § 101 (codified at 5 U.S.C. § 311). Credible program evaluation activities are implemented with relevance and utility, rigor, independence and objectivity, transparency, and ethics (OMB Circular A-11, Part 6 Section 290).

Evaluation costs are allowable costs (either as direct or indirect), unless prohibited by statute or regulation, and such costs may include the personnel and equipment needed for data infrastructure and expertise in data analysis, performance, and evaluation (2 C.F.R. §200).

In addition, recipients are required to participate in a DHS-led evaluation if selected, which may be carried out by a third-party on behalf of the Program Office or DHS. By accepting grant funds, recipients agree to participate in the evaluation, which may include analysis of individuals who benefit from the award, and provide access to program operating personnel and participants, as specified by the evaluator(s) for six months after the period of performance or six months after the obligation period (for sponsored graduate students).

G. DHS Awarding Agency Contact Information

1. Contact and Resource Information

The Program Officer shall be the DHS official responsible for monitoring the completion of work and technical performance of the projects or activities described in the Program Narrative Statement:

Sandra Gogol
Mail Stop: 0315
Department of Homeland Security
2707 Martin Luther King Jr Ave SE
Washington, DC 20528-0315
Mobile: (202) 527-3452
Email: Sandra.Gogol@hq.dhs.gov

The Grants Officer shall be 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 I OPO)
245 Murray Lane SW, Mail Stop 0115
Washington, D.C. 20528-0115
Office: 202.770.4776
Email: Shareef.Prater@hq.dhs.gov

2. Additional Information

a. Period of Performance Extensions

Extensions to the period of performance under this program are *allowed.*
Note: Extensions are only allowed during the last year of the award. Please follow the instructions below to apply for an extension.

- Send a request for the form to the Program Office and Grants Officer. Upon completion of the Extension Request form, send your completed forms to the Program Office and Grants Officer.
- Requests shall be submitted no later than two months prior to the end of period of performance.

b. Automatic Carry-forward/Carry-over

Any unobligated funds remaining at the end of a budget period will automatically transfer to the next budget period, a process commonly known as carry-forward or carry-over, subsequent budget period amounts may be reduced in proportion to the carry-forward/carryover amounts. DHS may request estimated Federal Financial Reports (FFRs) be submitted prior to the budget period end date to determine potential unobligated amounts. Large unobligated amounts may result in restriction of automatic carryover authority.

c. 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:

i. Financial stability.
ii. Quality of management systems and ability to meet the management standards prescribed in applicable OMB guidance.
iii. Applicant's record in managing previous DHS awards, cooperative agreements, or procurement awards, including:
    - Timeliness of compliance with applicable reporting requirements.
    - Accuracy of data reported.

- Conformance to the terms and conditions of previous federal awards.
- If applicable, the extent to which any previously awarded amounts will be expended prior to future awards.
- Information available through OMB-designated repositories of Government-wide eligibility qualification or financial integrity information, such as: FAPIIS, DUNS, and SAM.
- Reports and findings from single audits performed under Subpart F – Audit Requirements, 2 CFR Part 200 and findings and reports of any other available audits.
- Applicant organization's annual report.
- Publicly available information, including information from the applicant organization's website.
- Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.

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

d. 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:

i. The federal awarding agency that assigned the high-risk status.
ii. The federal awarding agency's POC for the risk status including name, phone number, and email address.
iii. Date of the risk status designation.
iv. Reason(s) for the risk status.

DHS seeks this information to ensure appropriate federal oversight of all cooperative agreement 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.

e. Obligation by DHS/GFAD

Publication of this NOFO does not obligate the DHS, GFAD to award any specific number of grants and/or cooperative agreements or to obligate any particular amount of funding.

Appendices