The Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Insider Threats in American Law Enforcement

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

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A. **Program Description**

1. **Issued By**
   U.S. Department of Homeland Security (DHS), Science & Technology Directorate, Office of Science and Engineering (OSE), Social Science Technology Center (SS-TC).

2. **Assistance Listings (formerly Catalog of Federal Domestic Assistance (CFDA) Number)**
   97.108

3. **Assistance Listings Title (formerly CFDA Title)**
   Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies

4. **Funding Opportunity Title**
   Insider Threats in American Law Enforcement

5. **Funding Opportunity Number**
   DHS-ST- 21-108-FR02

6. **Authorizing Authority for Program**
   6 U.S.C. 188(b)(1)(c)

7. **Appropriation Authority for Program**
   P.L. 116-93, Consolidated Appropriations Act, 2020, Division D. – Department of Homeland Security Appropriations Act, 2020, Title IV – Research, Development, Training and Services

8. **Announcement Type**
   Initial

9. **Program Category**
   N/A

10. **Program Overview, Objectives, and Priorities**
    The U.S. Department of Homeland Security (DHS) is committed to using cutting-edge technologies and providing scientific expertise in its quest to make America safer. The DHS Science and Technology Directorate (S&T) is tasked with researching and organizing the scientific, engineering, and technological resources of the United States and leveraging these resources to develop tools, methods and research to help protect the homeland. The Social Sciences Technology Center (SS-TC) advances technology and knowledge to improve performance, policy, strategy, tactics, techniques, procedures, and operational impacts to enable communities to augment their existing programs and prevention and response plans to ensure that they include effective protocols and

strategies to address the immediate and long-term needs of victims, families, first responders and communities after mass violence or terrorism incidents and, human trafficking crimes.

Due to the growing number of threats our nation is combating, SS-TC supports the evolving threat landscape of a dynamic world with changing motivations, actors, communication models, and weaponry. Effective response requires a sophisticated understanding of the threat environment and innovations in technology and applications. These challenging tasks requires access to a broad set of expertise drawn from the fields of psychology, economics, criminology, political science, sociology, biostatistics, and other social and evaluation disciplines. Knowledge and findings from this research will be transferred to federal, state, local, and private organizations to enable education and awareness to reinforce a whole-of-society prevention architecture while respecting civil rights and civil liberties. These prevention efforts will equip and empower local efforts – including peers, teachers, community leaders, and law enforcement—to minimize a threat as it evolves while enhancing emergency preparedness and response.

Through this solicitation, SS-TC aims to assist in the development of science-based policy, programs and technologies in support of the DHS Strategic Plan 2020-2024[1]; specifically, Goal 1 (Counter Terrorism and Homeland Security Threats) and Goal 5 (Strengthen Preparedness and Resilience). This solicitation is also in support of the 2020 Strategic Framework for Countering Terrorism and Targeted Violence[2].

Objectives of this effort will identify high quality data to understand the risks posed to the United States by the potential for violent extremist organizations or lone actors to infiltrate law enforcement agencies (LEAs) and other government institutions. Findings from this research activity aim to provide a comprehensive understanding of insider threats drawn from historical precedent, existing practices and policies, and training. In addition, these data will inform the generation of best practices for insider threat prevention programming and policy in local, state, and federal agencies, as well as promote continuing research through objective and scientific means.

The base effort for this solicitation will provide scientific evidence to inform research, design, and assistance in developing partnerships, policies and procedures to address domestic law enforcement agency insider threats. The awardee(s) will assist with a range of activities, including designing data collection strategies, collecting data from primary and secondary sources, and analyzing data while identifying subject matter experts to participate in interviews and/or focus groups. Reviewing and analyzing research from fields such as criminology, mental health, psychology, and sociology will help determine gaps in current knowledge and counter the threats posed by violent extremists and violent ideologies to United States LEAs and the public.

Technical Topic Areas: (10.1.1 – 10.1.2)

[1] https://www.dhs.gov/sites/default/files/publications/19_0702_plcy_dhs-strategic-plan-fy20-24.pdf
[2] https://www.dhs.gov/sites/default/files/publications/cttv_action_plan.pdf

10.1.1 TTA #1, Formative Research on Insider Threats

Objective 1**:** The goal of this solicitation is to contribute to a comprehensive and extensive understanding of insider threats facing domestic law enforcement agencies. Topics to be addressed through this investigation may include, but are not limited to: historical precedents in the United States, how insider threats can be measured or described, what is the prevalence, which groups (or which types of groups) pose a threat, which law enforcement agencies (e.g. local, state, federal law enforcement) are under the greatest threat, which groups might be targeted through successful infiltration (e.g. law enforcement, public, other extremist groups, etc.), and what is the most likely threat mechanism? The research should aim to fill gaps in the existing research literature, and to provide an empirical basis upon which to formulate and implement policies and programs to improve law enforcement's ability to detect, deter, and mitigate insider threats facing their agencies and departments.

10.1.2 TTA #2, Recommendations for Best Practices and Additional Research

Objective 1: Translating research findings into actionable and operational documents will be of utmost benefit to localities seeking to implement anti-insider threat protocols and policies in their own agencies and departments. The research outputs should provide recommendations for detecting, deterring, and mitigating the potential for insider threats facing domestic law enforcement agencies through infiltration by violent extremist organizations or lone actors. The format of these recommendations may include, but is not limited to, presentations, training curricula, reports, or pamphlets. In addition, the research should identify gaps in research and suggest research areas where additional investigations would advance understanding of insider threat detection, deterrence, and mitigation in the United States.

11. Performance Measures

Performance measures used to evaluate the success of this/these project(s) should be included in the proposal. Final performance measures will be discussed and approved by the DHS Program Manager (PM) and included in the project(s) Project Management Plan (PMP). Performance measures should address all of the following:

I. The utility of data collected and analyzed to answer the questions posed in TTA1, in addition to any additional questions posed in the awarded proposal, demonstrated through measures and metrics proposed by the recipient and approved by the DHS PM;

II. The number and usefulness of actionable and operational guidance documents produced for stakeholders identified in TTA2, as measured and through metrics proposed the recipient and approved by the DHS PM;

III. The quality of project management procedures enacted to ensure research goals and objectives were achieved on time and on budget with the proposed

project timeline, schedule of deliverables, and budget, as outlined in the project management plan to be created and approved by the DHS PM;

IV. The adherence of the projects' research approach and methodologies to the standards of scientific rigor outlined in this solicitation and befitting research funded by the Department of Homeland Security's Science & Technology Directorate, as evaluated by the DHS PM.

B. Federal Award Information

1. **Available Funding for the NOFO:** $500,000.00
2. **Projected number of Awards:** TBD based on applications received
3. **Maximum Award Amount** TBD based on the # of awards issued
4. **Period of Performance:** up to 30 months

extension to the period of performance are permitted. [See section H]

5. **Projected Period of Performance Start Date(s):** 06/01/2021
6. **Projected Period of Performance End Date(s):** 06/01/2023
7. **Funding Instrument Type:** Grant

C. Eligibility Information

1. Eligible Applicants

a) For-profit organizations other than small businesses
b) Nonprofits with 501(c)(3) IRS status, other than institution of higher education
c) Nonprofits without 501(c)(3) IRS status, other than institution of higher education
d) Private institutions of higher education
e) Public & state-controlled institutions of higher education
f) Small businesses

2. Applicant Eligibility Criteria

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

1. Applicants must not be a Government organization. At the time of application, applicants that propose to become the PI must have at least three years of experience performing program evaluations.

2. National laboratory employees may participate in planning, conducting, and analyzing the activities directed by the applicant, but may not direct projects on behalf of the applicant organization.
3. The recipient may provide funds through its assistance agreement with DHS to an FFRDC for project-specific, non-federal research personnel, supplies, equipment, facilities, data, and other expenses directly related to activities under this grant.
4. Federal agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on a grant or cooperative agreement and may not receive salaries or in other ways augment their agency's appropriations through awards made by this program.

3. Other Eligibility Criteria

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

i. **Application relevance.** Applications that do not address the purpose of this announcement will not be considered.

ii. **Compliance and completeness.** Applications must substantially comply with the application submission instructions and requirements in this announcement or they will not be considered.

iii. **Funding limits.** Applications exceeding the funding limits will not be considered.

iv. **Proof of non-profit status.** The applicant and any proposed sub-awardee must provide documentation of non-profit and/or public status. Any of the following constitutes acceptable proof of non-profit status:

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

- A signed statement on official letterhead by an official authorized to apply for grant funds on behalf of the public entity shall suffice.

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

4. Maintenance of Effort (MOE)
Not Applicable

5. Cost Share or Match
Not Applicable

D. Application and Submission Information

1. Key Dates and Times

a. Application Start Date: 03/24/2021

b. Application Submission Deadline: 05/16/2021 at 11:59:59 PM [EDT]

c. Other Key Dates *(If applicable)*

Event	Suggested Deadline for Completion
Obtaining DUNS Number	Four weeks before actual submission deadline <*optionally insert date*>
Obtaining a valid EIN	Four weeks before actual submission deadline <*optionally insert date*>
Updating SAM registration	Four weeks before actual submission deadline <*optionally insert* date>
Starting application in Grants.gov	One week before actual submission deadline <*optionally insert* date>

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 write or fax a request to:

Janet Bailey
Office of Procurement Operations (MGMT I OPO)
245 Murray Lane SW
Mail Stop 0115
Washington, D.C. 20528-0115
Phone: 202-447-0362
Email: janet.bailey@HQ.DHS.GOV

Hard copies of the application will not be accepted. Applications will be processed through the Grants.gov portal only.

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 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;
a. Establish an Authorized Organizational Representative (AOR) in Grants.gov;
b. Submit *(if applicable, add:* an initial*)* application in Grants.gov;
g. *(If applicable)* Submit the final application in the <*insert applicable system*>; and
h. 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.

The Standard Language for Using Grants.gov to Apply is provided to aid in fulfilling these requirements (if applicable), based off of https://www.grants.gov/web/grants/grantors/grantor-standard-language.html:

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 Grants and Financial Assistance Division 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 you are applying for.

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

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

Not applicable. Final application must be finished in grants.gov.

9. Timely Receipt Requirements and Proof of Timely Submission

Online Submission. All applications must be received by 11:59:59 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. Content and Form of Application Submission

MANDATORY FILES:

1. SF 424 – Application for Federal Assistance

   Applicants must complete an SF 424 application form. This form may be completed while on the Grants.gov Web site or it can be completed offline in its entirety. NOTE: Applications submitted through Grants.gov must use the SF 424 provided by Grants.gov. The SF 424 application form can only be viewed and downloaded once Adobe Reader has been installed. The SF 424 application form on Grants.gov is formatted so applicants are only required to complete fields which are indicated with an asterisk (*) and color coded. Once the application is complete, close the document (you will then be prompted to save changes or not).

2. SF424A Budget

   Applicants must complete the budget in its entirety. Applicants must provide budgets by object class (salaries, fringe, travel, indirect, etc.). Funds may be requested as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions (see Section IV).

3. Budget Narrative (Justification) File(s).

   a. Attach your budget narrative and justification files (including separate budgets for each proposed subaward or subcontract) to the form named “Budget-V1.1” in the application package. If you need to add more documents than this form will allow (i.e. subaward budgets), please use the optional “Attachments” form to attach the additional files (see below).

b. Budget detail is required for:

1) PERSONNEL: Costs of employee salaries and wages.
Justification: Identify the project director or principal investigator, if known. For each staff person, provide the title, time commitment to the project (in months), time commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. Do not include the costs of consultants.

2) FRINGE BENEFITS: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide the method used to calculate the proposed rate amount. If a fringe benefit has been negotiated with, or approved by, a Federal government cognizant agency, provide a copy of the agreement. If no rate agreement exists, provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc. Identify the base for allocating these fringe benefit expenses.

3) TRAVEL: Costs of project-related travel by employees of the applicant organization (does not include costs of sub-contractor or consultant travel). All travel shall be in compliance to current Federal Travel Regulations.

Justification: For each proposed trip, provide the purpose, number of travelers, travel origin and destination, number of days and a breakdown of costs for airfare, lodging, meals, car rental and incidentals. The basis for the airfare, lodging, meals, car rental and incidentals must be provided, such as past trips, current quotations, Federal Travel Regulations, etc.

4) EQUIPMENT: Any article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization financial statement purposes, or (b) $5,000. Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, calibration and maintenance services, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation shall be included in or excluded from acquisition cost in accordance with the organization's regular written accounting practices.

Justification: For each type of equipment requested, provide a description of the equipment, the cost per unit, the number of units, the total cost, and a plan for use on the project, as well as use or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy or section of its policy, which includes the equipment definition.

5) SUPPLIES: Costs of all tangible personal property other than that included under the Equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

6) CONTRACTUAL: Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc. Include third party evaluation contracts (if applicable) and contracts with secondary Recipient organizations.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Identify proposed subaward/sub-contractor work and the cost of each subaward/sub-contractor. Provide a detailed budget for each subawardee that is expected to perform work estimated to be $25,000 or more, or 50% of the total work effort, whichever is less. The subawardee budget(s) should provide the same level of detail as that of the applicant (i.e., by Object Class Category/Cost Classification). In addition, the following information must be provided:

Subcontracts - Identify each planned subcontractor and its total proposed budget. Each subcontractor's budget and supporting detail should be included as part of the applicant's budget narrative. In addition, the applicant shall provide the following information for each planned subcontract: a brief description of the work to be subcontracted; the number of quotes solicited and received, if applicable; the cost or price analysis performed by the applicant; names and addresses of the subcontractors tentatively selected and the basis for their selection; e.g., unique capabilities (for sole source subcontracts), low bidder, delivery schedule, technical competence; type of contract and estimated cost and fee or profit; and affiliation with the applicant, if any.

Recipient may be required to make pre-award review and procurement documents available to DHS, including request for proposals or invitations for bids, independent cost estimates, etc. This may include procurements

expected to exceed the simplified acquisition threshold fixed at 41 USC 403(11) (currently set at $100,000) and expected to be awarded without competition or only one bid or offer is received in response to a solicitation.

Sub-awardees – Identify each planned sub-awardee and its total proposed budget. Each sub-awardee's budget and supporting detail should be separate from the applicant's budget narrative.

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

7) OTHER DIRECT COSTS: Any other items proposed as direct costs. Provide an itemized list with costs and state the basis for each proposed item (e.g., exercises).

8) INDIRECT COSTS: Provide a copy of the latest rate agreement negotiated with a cognizant Federal agency. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the award. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed. Additional information outlined in Appendix 1, Section F, Eligible Costs.

4. Certifications/Assurances.

Applicants must submit:

1) SF 424B – Assurances – Non-construction Programs.

2) Certification Regarding Lobbying. If paragraph two of the certification applies, then complete and submit the SF-LLL Disclosure of Lobbying, which is provided as an optional form in the application package.

By signing and submitting an application under this announcement, the applicant is providing: Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions; and Certification Regarding Drug-Free Workplace Requirements.

5. Project Abstract.

   Provide a summary description, not to exceed one page, of the proposed activity suitable for dissemination to the public. It should be concise and accurate and should contain a statement of objectives. It should be informative to other persons working in the same or related fields and insofar as possible understandable to a technically literate lay reader. This Abstract must not include any proprietary/confidential information.

6. Project Narrative. Attach Project Narrative
   The Project Narrative (including the Project Abstract) must not exceed a maximum of twenty (20) single-spaced pages in length. Pages refer to one-side of a single-spaced typed page. Font size should be no smaller than 10 and the proposal must be submitted on 8 ½" x 11" paper. Pages in excess of the 21-page limit will not be considered. Supporting materials, such as resumes, letters of support and/or commitment, and fleet description information can be submitted as attachments and are not included in the 21-page limit.

7. Indirect Cost Rate Agreements.
   Applicant with an approved federally recognized and valid Negotiated Indirect Cost Rate from their cognizant agency can charge indirect costs to projects based on their negotiated indirect cost rate. An approved and valid agreement is one in which the rate has been authorized by a cognizant agency and the effective period has not expired. Applicants must provide a copy of their approved and valid agreement with their application in order for indirect cost reimbursements to be considered.

8. Negotiated Fringe Benefit Agreements or, if no agreements exist, the amounts and percentages of all items that comprise the fringe rate, and the basis for allocation if separate from the Indirect Cost Rate Agreement.

9. Optional forms:

   A. Attachments Form – use this form to attach other documents if you need another place to electronically attach portions of your application.

   B. SF-LLL Disclosure of Lobbying Activities – fill out and submit this form ONLY if Condition 2 in the Lobbying Certification applies.

11. Other Submission Requirements

Do not password-protect files

12. 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).

13. Funding Restrictions

Not Applicable

14. Allowable Costs

a. Pre-Award Costs

Pre-Award Costs are not allowed

b. Management and Administration (M&A) Costs

Discretionary M&A costs are allowable in the event the Recipient does not have an indirect cost rate agreement. The Recipient is allowed a maximum of up to ten (10) percent for M&A costs in these instances.

M&A are not operational costs but are necessary costs incurred in direct support of the grant 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.

An application must provide in the project narrative a detailed description of these expenses.

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

Indirect costs are allowable. Provide a copy of the latest rate agreement negotiated with a cognizant Federal agency. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs

to the award. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant's organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

E. Application Review Information

1. Application Evaluation Criteria

a. Programmatic Criteria

DHS will use the following criteria to evaluate full proposal submissions. Proposals that do not provide satisfactory responses to these essential criteria will be deemed nonresponsive and returned:

1. **Statement of applicant's capabilities/competencies (relevant projects, experience, capacities).** The applicant should provide any qualifications and experience of proposed project staff (that is, the principal investigator, any and all co-principal investigators, and all other individuals (and organizations) identified in the application (regardless of "investigator" status) who will be significantly involved in substantive aspects of the proposal).0-10, weighted 20%.

2. **Quality and feasibility of technical approach.** The applicant should demonstrate soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project, feasibility of proposed project, awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them. All Technical Topic Areas (section 10.1 of the NOFO) should be sufficiently addressed. 0-10, weighted 50%

3. **Program management approach.** Proposals should demonstrate the ability of the applicant organization to manage the effort, and should include proposed timeline and project milestones which are feasible based on the proposed work, given the project's capacity with respect to its human capital. 0-10, weighted 20%

4. **Cost effectiveness,** relative to anticipated results/products. Proposals should include the total cost of the project relative to the perceived benefit (cost effectiveness), discuss the appropriateness of the budget relative to the level of effort, the use of existing resources to conserve costs, proposed budget alignment with proposed project activities, and that any proposed participant support costs (e.g., stipends, incentives, and/or reimbursements) are reasonable and well-justified. 0-10, weighted 10%.

Three evaluators will independently evaluate and score each application. Evaluators will then participate in the discussion of these applications when the group convenes for the consensus evaluation. All members of the evaluation are permitted to contribute to the group discussions at the consensus evaluation. Discussions may occur virtually.

b. Financial Integrity Criteria

Prior to making a federal award, the Grants and Financial Assistance Division 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 Grants and Financial Assistance Division 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 beta.sam 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 Grants and Financial Assistance Division 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

Evaluators will evaluate all applications for the NOFO and are selected based on having technical backgrounds that sufficiently cover the areas required to fairly evaluate the applications. A list of expected skill sets of the program evaluators is outlined below:

- Technical understanding of violence reduction and threat prevention programs and expertise in public health emergency preparedness and response.

- Awareness of community developments, including latest prominent F/S/L/T efforts to advance insider threat prevention efforts and in the fields of terrorism prevention and targeted violence research in general.

- The ability to apply active management, experience, or demonstrated knowledge of performance, policy, strategy, tactics, techniques, procedures, and operational impacts to the DHS mission through the application of fundamental research in behavioral, social, economic, human factors, and investigative science research and development programs effectively.

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.**

Notification of the award is made to the submitting organization via email by a Grants Officer in the Grants and Financial Assistance Division. Notification may be made prior the award being completed. The notification of award is not an authorization to begin performance. Award documentation, signed by the grants officer, is the authorizing document. The award documentation will also have period of performance dates.

Applications that were not selected for award will be notified by a Grants Officer via e-mail in the Grants and Financial Assistance Division in a timely manner. The Applicant will receive feedback comments from the consensus reviews. The feedback comments will not include the identities of the panelists and reviewers.

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

a. Federal Financial Reporting Requirements

The Federal Financial Report (FFR) form is available online at: SF-425 *OMB #4040-0014*

b. Programmatic Performance Reporting Requirements

Monthly progress reports to DHS

The DHS S&T Program Manager (PM) requires grantees to manage and monitor each program, project, sub-award, function, or activity supported by the award through the use of monthly Quad charts and monthly progress reports (templates to be provided by the government). The submission of monthly Quad charts and monthly performance reports will facilitate the government's ability to make recommendations and suggestions to ensure that needs and operational requirements of the targeted communities of this award are being met. All technical plans and reports will be reviewed to ensure the highest scientific standards by the DHS S&T Technical Director for this project.

Monthly Quad Charts and Monthly Progress Reports

These progress reports shall include a summary of the accomplishments and activities, progress toward meeting milestones and deliverables including percentage complete, planned activities for the next reporting period, and identified risks or issues encountered. Monthly Quad Charts and Monthly Reports (e.g. Financial and Technical) shall be delivered to DHS according to the appropriate timeline per the kickoff meeting and should be electronically submitted to DHS PM Rik Legault (Richard.Legault@ HQ.DHS.GOV)

Monthly Quad Cart Progress Report - will detail the activities of the reporting period, including the following at a minimum:

1. List of Work Plan Task's schedule, milestones and deliverables;
2. Summary of technical progress including significant technical information mapped to the task schedule;
3. Past two (4) week accomplishments, projected accomplishments subsequent four (4) weeks and a 30-60 day anticipated activities;
4. Unanticipated technical or management risks or issues;
5. Steps taken to resolve risks or issues;
6. Recommendations for resolution of risks or issues; and
7. Real or estimated impact to schedule, budget and milestone deliverables.

Monthly Financial Status Report - will detail the activities of the reporting period, including the following at a minimum:

1. A breakdown of costs incurred during the period, mapped to the categories of funding in the executed contract, including all direct and indirect labor, other direct, subcontract, other indirect, and travel costs;
2. A cumulative accounting of total costs by cost element versus budget cost to date;
3. Projection of the estimated cost and budget for the project to completion;
4. Estimated percentage of physical completion of the contract; and
5. Equipment inventory (if applicable)

Monthly Technical Status Reports - will detail the activities of the reporting period, including the following at a minimum:

1. List of Work Plan task schedule, milestones and deliverables;
2. Summary of technical progress including significant technical information mapped to the task schedule;
3. Summary of important meetings, briefings, or conferences that occurred during the reporting period or are anticipated for the future;
4. Unanticipated technical or management risks or issues;
5. Steps taken to resolve risks or issues;
6. Recommendations for resolution of risks or issues; and
7. Real or estimated impact to schedule, budget and milestone deliverables.

Project Meeting Minutes – The Recipient will also provide the DHS PM, if requested, with Meeting Minutes of all project meeting and teleconferences conducted within five (5) business days of the date of the meeting.

c. Additional Performance Reporting Requirements *(if applicable)*

In addition to the Quad Chart, Financial and Technical Reports, the Recipient shall also provide the following documents which are due to the DHS PM as indicated below and in the Appendix:

1. Kick-off Meeting – award plus 7 days;
2. Project Work Plan (draft) – award plus 10 days
3. Project Work Plan (final) – award plus 15 days;
4. Monthly Quad Charts – begins award plus 30 days; and
5. Subcontracting Plan – as part of the final Project Work Plan.
6. One-page project Summary / Information Sheet per DHS S&T format – award plus 30 days.
7. Presentations on Findings – as needed

d. 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 Grants and Financial Assistance 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 Grants and Financial Assistance Division 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 deobligated, 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.

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. 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 Grants and Financial Assistance Division 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.

e. 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 Grants and Financial Assistance Division, the recipient must notify the Grants and Financial Assistance Division 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 Grants and Financial Assistance Division in accordance with 2 C.F.R. § 180.350.

f. 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.

5. Monitoring and Oversight

Per 2 C.F.R. § 200.329 the Grants and Financial Assistance Division, 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, the Grants and Financial Assistance Division will review grant recipients' files related to the grant award. As part of any monitoring and program evaluation activities, grant recipients must permit the Grants and Financial Division, 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 the Grants and Financial Assistance Division requests for information relating to the grant program**.**

G. DHS Awarding Agency Contact Information

a. Contact and Resource Information

Technical Lead:
Dr. Richard Legault
Senior Advisor
Science & Technology Directorate
Department of Homeland Security
Richard.Legault@ HQ.DHS.GOV
Desk: (202) 254-6829

Grants Office:
Janet Bailey
Grants Specialist
Grants and Financial Assistance Division
Department of Homeland Security
Janet.Bailey@HQ.DHS.GOV
Desk: (202) 447-0362

H. Additional Information

a. Period of Performance Extensions

Extensions to this program are allowed.

If the project Recipient believes they require additional time to meet the requirements of the Topic area, they should submit a written request to the IAS PM no later than 45 days before the end of the scheduled Period of Performance (POP). The written request shall contain the reasons for the extension request and the requested new expiration date for the POP. The IAS PM will then review the request and discuss it, if necessary, with the project Recipient. If an extension request is approved by the PM, it will be forwarded to the Grants Officer for consideration.

b. Other

Obligation by DHS/GFAD

Publication of this Notice of Funding Opportunity (NOFO) does not obligate the Department of Homeland Security (DHS), Grants and Financial Assistance Division (GFAD) to award any specific number of grants and/or cooperative agreements or to obligate any particular amount of funding.

Program Income

No program income is anticipated to be generated under the award(s) at this point. However, if program income generates during the implementation of the program, the Grants Officer reserves his/her rights in determining exactly how that income will be treated and considered under the award, in line with 2 CFR 200.307. Otherwise, the following will be observed:

For U.S. Organizations, the following paragraph (e) (1) of the 2 CFR 200.307 must apply: "(1) Deduction. Ordinarily program income must be deducted from total allowable costs to determine the net allowable costs. Program income must be used for current costs unless the Federal awarding agency authorizes otherwise. Program income that the non- Federal entity did not anticipate at the time of the Federal award must be used to reduce the Federal award and non-Federal entity contributions rather than to increase the funds committed to the project." For non-U.S. organizations, see the provision named "Program Income."

Disclosure

Risk Assessment Evaluation

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

In evaluating risks, DHS may consider the following:

- Financial stability;
- Quality of management systems and ability to meet the management standards prescribed in applicable OMB Guidance;
- Applicant's record in managing previous DHS awards, cooperative agreements, or procurement awards, including:

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

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

Applicant Disclosure of High Risk Status

Applicants are to disclose if they are currently designated as high risk by a federal awarding agency. This includes, but is not limited to, any status requiring additional oversight by a federal awarding agency due to past programmatic, administrative or financial concerns. If an applicant is designated as high risk by a federal awarding

agency, it should provide an explanation with the application package and include the following information:

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

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