

**The Department of Homeland Security (DHS)
Standing Funding Opportunity Announcement (SFOA)**

OVERVIEW INFORMATION

Issued By

U.S. Department of Homeland Security (DHS) Domestic Nuclear Detection Office (DNDO)

Catalog of Federal Domestic Assistance (CFDA) Number

97.106

CFDA Title

Securing the Cities (STC) Program

Standing Funding Opportunity Announcement Title

Securing the Cities (STC) Program

Authorizing Authority for Program

6 U.S.C. 596

§ 596. CONTRACTING AND GRANT MAKING AUTHORITIES

The Secretary, acting through the Director for Domestic Nuclear Detection, in carrying out the responsibilities under paragraphs (6) and (7) of section 592 (a) of this title, shall—

(1) operate extramural and intramural programs and distribute funds through grants, cooperative agreements, and other transactions and contracts.

Appropriation Authority for Program

For FY14: Appropriation authority granted under P.L. 113-76; Division F – Department of Homeland Security Appropriations Act, 2014; Title IV – Research, Development, Training, and Services; Domestic Nuclear Detection Office; System Acquisition enacted \$42,600,000. Further detailed in the House Report (H.R. 113-91) Domestic Nuclear Detection Office; Systems Acquisition; Securing the Cities enacted \$22,000,000, for New York City, Los Angeles/Long Beach area and a third urban location. \$5,600,000 applies to this Funding Opportunity Announcement. For FY15 and beyond: This program has not received funding. All awards are contingent upon the availability of funds.

SFOA Number

DHS-14-DNDO-106-001

Key Dates and Time

Application Start Date:	Standing Announcement. Annual Application open date based on Federal budget release date. For FY14: 02/19/2014
Application Submission Deadline Date:	05/20/2014 at 8:00 PM EDT
Anticipated Funding Selection Date:	08/15/2014

Anticipated Award Date: 08/15/2014

Other Key Dates

SFOA Teleconference: 02/27/2014 1:00 to 2:00 PM EST

SFOA Workshop Webinar: 03/20/2014 1:00 to 3:00 PM EDT

Intergovernmental Review

Is an intergovernmental review required? Yes No

Applicants must contact their State’s Single Point of Contact (SPOC) to find out about and comply with the State’s process under Executive Order 12372. Name and addresses of the SPOCs are maintained at the Office of Management and Budget’s home page at http://www.whitehouse.gov/omb/grants_spoc to ensure currency.

This requirement is imposed on a state-by-state basis, depending on whether or not the state has opted in and is listed at http://www.whitehouse.gov/omb/grants_spoc. For more information on Intergovernmental Review, please visit <http://www.fws.gov/policy/library/rgeo12372.pdf> for the full text of EO 12372.

SFOA EXECUTIVE SUMMARY

Program Type

Select the applicable program type: New Continuation One-time

Date of origin for Program: 07/19/2007

Standing Funding Opportunity Category

Select the applicable opportunity category:

Check all boxes that apply

Discretionary Mandatory

Discretionary are all other types of programs. Mandatory grants are those with prescribed funding allocations, such as formula grants.

Competitive Non-competitive

Sole Source

Application Process

DHS makes all funding opportunities available through the common electronic “storefront” grants.gov, accessible on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the grants.gov customer support hotline at (800) 518-4726.

Components/Directorates must ensure applicants and recipients use the appropriate OMB Standard Forms when applying for financial assistance. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the standing funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application

package. To download the instructions, go to “Download Application Package” and select “Instructions.”

Interested eligible parties must apply via Grants.gov where they will obtain application forms and instructions. Go to <http://www.grants.gov>, click “Apply for Grants,” and then click “Download a Grant Application Package and Instructions.” Enter the CFDA or the standing funding opportunity number (see the beginning of this announcement), and click the “Download Application Package” button. Click the “download” link for this opportunity and then follow the prompts to download the application package and the instructions package (if applicable). If you are unable to download the grant application package, contact the Grants Officer listed in Section VII of this announcement.

An appendix to the standing funding opportunity announcement with additional application information will be included as a separate link at grants.gov.

Eligible Applicants

The following entities within the UASI are eligible to apply directly to DNDO under this solicitation:

- City or township governments
- County governments
- For-profit organizations other than small businesses
- Independent school districts
- Individuals
- Native American tribal government (federally recognized)
- Native American tribal organizations (other than federally recognized tribal governments)
- Nonprofits with 501(c)(3) IRS status, other than institution of higher education
- Nonprofits without 501(c)(3) IRS status, other than institution of higher education
- Others (see text field entitled “additional information on eligibility” for clarification)
- Private institutions of higher education
- Public & State controlled institutions of higher education
- Public Housing Authorities/Indian housing authorities
- Small businesses
- Special district governments
- State governments

For additional information, see the *Eligibility Criteria* section of this SFOA.

Type of Funding Instrument

Select the applicable funding instrument: Cooperative Agreement Grant

DHS will enter into a cooperative agreement with awardee. The STC Program requires:

- DHS and recipient collaborate or jointly participate in the performance of the assisted activities.
- Highly prescriptive DHS requirements prior to award, limiting recipient discretion with respect to scope of services offered, organizational structure, staffing, mode of operation and other management processes, coupled with close DHS monitoring or operational involvement during performance over and above the normal exercise of Federal stewardship responsibilities to ensure compliance with these requirements.
- Exclusive regional coordination between the STC local program office and the STC Federal program office.

DHS responsibilities under the cooperative agreement, in addition to the usual monitoring and technical assistance include the following:

1. Providing technical assistance in the selection of eligible equipment for participating jurisdictions.
2. Assisting in the establishment of Federal interagency partnerships, collaboration and cooperation that may be necessary for carrying out the project.
3. Providing technical assistance for training and exercises to include provisioning of training and training materials as well as exercise assistance for participating jurisdictions.
4. Providing technical assistance to STC partners in developing Operational Plans, Concepts of Operation (CONOPs) and Standard Operating Procedures (SOP).
5. Attending and participating in appropriate meetings initiated by State and local stakeholders, including meetings of the STC committees, subcommittees, and working groups as applicable. Subject matter experts may/will periodically attend, participate and advise the local program managers as necessary.
6. Providing other technical assistance as required.

Cost Share or Match

Select the applicable requirement: Cost Match Cost Share Voluntary

Maintenance of Effort

Is there a Maintenance of Effort (MOE) requirement? Yes No

Management and Administration

N/A

FULL ANNOUNCEMENT

I. Standing Funding Opportunity Description

Program Overview and Priorities

The Securing the Cities (STC) Program seeks to reduce the risk of a successful deployment of a nuclear terrorist weapon against a major metropolitan regions in the United States by establishing sustainable capability among state, local, and tribal agencies to detect and report unauthorized radiological/nuclear (rad/nuc) materials within their jurisdictions supporting the Global Nuclear Detection Architecture (GNDA).

The STC Program has three primary goals: (1) to enhance regional capabilities to detect, identify and interdict nuclear materials that are out of regulatory control; (2) to guide the coordination of Federal, State, local and tribal entities in their roles defined by the GNDA; and (3) to encourage participants to sustain base nuclear detection program over time. To accomplish these goals, the DNDO developed the following objectives:

Objective 1: Assist State, local and tribal governments in developing local nuclear detection architectures resulting in awareness, training, technical support, exercises and capability development. DNDO will use a common strategy in each STC implementation tailored for the particular requirements of that area. This strategy will put in place a comprehensive structure for developing all architectural elements and will encompass all elements of capability development.

Objective 2: Establish information connectivity among deployed detection systems in the interior layer and State, local, tribal, private and regional data analysis centers, to include connectivity for technical Reachback and adjudication support. Information exchange is critical to reducing the risk of any terrorist attack. An Operations Plan (OPLAN) will document coordination practices among partners and with DNDO. Additionally, an Information Exchange Plan will ensure that proper and effective information sharing practices and policies are institutionalized within the region with respect to the STC Program.

Objective 3: Establish administrative infrastructure to support nuclear detection program. DNDO will play a major role during STC implementations to set up the managing structures that will allow the partners to develop a self-supporting program with limited Federal assistance.

Objective 4: Establish coordination mechanisms between stakeholders for routine daily operations and focused/stepped up deployments. An OPLAN that has concurrence from all principal STC partners is the key document defining coordination within and outside the region.

Assistance provided through this STC SFOA will allow the stakeholders to establish or enhance a sustainable regional nuclear detection program. DHS intends to support State and local operations for nuclear detection through a three-phased STC Program that provides for the implementation of nuclear detection capabilities in eligible UASI regions. See Appendix 1, Section A, *STC Program Phases*. Subject to funding availability and acceptable performance, DNDO may execute the STC Program concurrently in other regions in and around major metropolitan regions.

STC intends to provide assistance to achieve the following end-state. DHS intends to provide assistance that will allow regional stakeholders to:

- Closely coordinate planning, operations and information exchange on a regional basis and with DNDO and other Federal agencies.
- Conduct training and exercises to further the nuclear detection mission in the region and gain proficiency in detection operations.
- Develop a robust mobile architecture and equipment set for both land and maritime pathways.
- Lay the foundation of an information exchange methodology so that multiple STC regions may exchange data amongst each other, with DNDO, and with other Federal partners.
- Achieve better integration of Federal, State and local capabilities allowing regional support to national operations.

If an eligible UASI region chooses to apply, DHS expects one application per UASI area fully coordinated with all principal partners and encompassing all nuclear detection mission regions. DHS envisions three levels of participants: the lead agency (applicant), the principal partners (principal partners may include the region's larger law enforcement agencies, fire services, radiation health agency, regional transit authorities, and maritime components including members of the Area Maritime Security Committee (AMSC), if applicable), and sub-partners (agencies that are represented by a principal partner). The principal partners ideally should number between eight to twelve total agencies. The application must clearly identify all principal partners. Sub-partners should also be included in the resulting regional nuclear detection program, but do not need to be identified in a region's application.

DHS envisions issuing an award with a five-year period of performance containing incremental funding. This assistance is subject to funds availability and awardee's compliance with requirements of the cooperative agreement. For planning purposes, applicants may expect the following activities over the five year period of performance:

- Year One: Planning, organizing and analysis activities; planning for sustainment activities.
- Years Two and Three: Procure equipment and training; plan and execute exercises.
- Years Four and Five: Continue conducting training and exercises with an emphasis on integration with Federal operations. Implement self-sustainment plans.

DHS intends on providing a pre-application workshop to interested parties not later than 30 days after SFOA is posted on grants.gov. Specific workshop details will be contained in an amendment to the SFOA. The goal of a pre-application workshop is to provide technical assistance to prospective applicants that will result in a clear path forward to assemble all required items at the required level of detail.

II. Funding Information

Funding is subject to availability and is estimated to be up to \$30,000,000 over five years per implementation. Specific funding available each year is based upon congressional appropriation. An awardee should anticipate first year funding for planning activities and possible initial equipment purchases. Significant funding will be provided years two through four for equipment procurement, training and exercises. In year five minimal funding will be provided for proficiency activities. Continued funding throughout the five year period of performance is also dependent upon awardees achievement of milestones as specified in the Region's Implementation Plan.

Award Amounts, Important Dates, and Extensions

Available Funding for the SFOA: FY14: \$5,600,000. Total program grants for all implementations may be up to \$270,000,000 over life of program

Projected number of Awards: One (1)
Projected Award Start Date(s): 08/15/2014
Projected Award End Date(s): 08/14/2027
Period of Performance: 60 months (for each award)

Period of Performance

Is an extension to the period of performance permitted? Yes No

Extensions will be considered on a case-by-case basis. An awardee must demonstrate significant operational or procurement issues in order to be considered for an extension.

III. Eligibility Information

Eligibility Criteria

The STC Program requires a regional approach to rad/nuc detection to reduce risk to major metropolitan regions. The effort covered by this announcement focuses on the following eight Urban Area Security Initiative (UASI) regions: Bay Area, CA; Boston Area, MA; Chicago Area, IL; Dallas/Fort Worth/Arlington Area, TX; Houston Area, TX; National Capital Region, Washington, DC; Philadelphia Area, PA; and San Diego Area, CA. The New York City, Los Angeles/Long Beach, and Jersey City/Newark UASI regions were covered by separate STC Program Funding Opportunity Announcements and are not eligible for this announcement.

DHS intends a five-year grant period of performance with incremental funding to build a rad/nuc detection program in each eligible UASI area. During the period of performance, continuation applications will be required to receive annual funding.

Eligible lead agencies (applicant) include government entities residing within the FEMA defined UASI area. DHS prefers a lead agency who distributes funding to principal partners; however, other models proposed in the Management Process Description portion of an application will be considered. UASI working group and/or Council of Governments are eligible as lead agency (applicant). Interstate and intrastate entities who support the UASI region may be a principal partner however they may not serve as lead agency (applicant). State-controlled institutions of higher education are not eligible as a lead agency (applicant).

DHS envisions three levels of participants: the lead agency (applicant); principal partners (the region's larger law enforcement agencies, fire services, radiation health agency, regional transit authorities, and maritime components including members of the Area Maritime Security Committee (AMSC), if applicable); and sub-partners (agencies that are represented by a principal partner). The principal partners ideally should number between eight to twelve total agencies. The application must clearly identify all principal partners. Sub-partners should also be included in the resulting regional nuclear detection program, but do not need to be identified in a region's application. The application may involve jurisdictions beyond the FEMA defined UASI area if a justification is provided in the Project Plan that describes how their inclusion furthers the objectives of the STC Program.

Non-responsive Applications:

1. Applications that do not include a regional approach to participation/participants will be deemed nonresponsive and returned without review.
2. Applications that do not address the purpose of this announcement will be returned without further review.
3. Applications must substantially comply with the application submission instructions and requirements in this announcement or they will be returned without further review.
4. Applications that provide only vague or abbreviated work tasks and project milestones associated with each STC task will be returned without review. DHS strongly encourages

using Gantt chart or other project management tools to show work tasks and project milestones associated with each STC task. Include estimated dates for information exchange methodology, training, exercises, workshops, Operations Plan development and equipment selection, purchase and deployment. This document must provide sufficient detail to allow DHS to evaluate the project schedule.

Application Requirements:

1. Project Narrative

The applicant must fully and completely address all the following items in the project narrative section of the application:

Principal Partners: Application must identify the lead agency (applicant) and all participating principal jurisdictions (“principal partners”) taking into account eligibility information above and include type of organization (city, county, etc.), organization name, total number of sworn officers/first responders, street address, city, county, state and zip code. Provide a primary contact person for each principal partner, including name, telephone, and email.

Memorandums of Understanding (MOUs) or Letters of Commitment: The applicant must provide MOUs or letters of commitment signed by an authorized representative of each principal partner, identifying their roles and responsibilities in the STC Program under this SFOA. If an applicant is relying on existing MOUs, then the applicant must provide an opinion of counsel verifying that the existing MOUs are valid for use with this SFOA. Letters of Commitment are sufficient for the application but upon award, the awardee must provide signed MOUs between the lead applicant and each principal partner. Information will include (but is not limited to) verbiage indicating willingness to:

- work in a coordinated fashion
- exchange law enforcement sensitive nuclear detection information and programmatic data among principal partners and DNDO
- share lessons learned from operational and training deployments

Applicants are advised signed MOUs trigger the release of funds and should speak only to administrative requirements and should not be overly complex or prescriptive. DHS expects all signed MOUs will be delivered to the Grants Officer and the STC Program manager within six months of award. See Appendix 1, Section H, MOU Guidelines and Template.

Existing Capability: Capability, in this sense, is comprised of appropriately trained and equipped personnel, proficient in the use of radiation detection equipment, and guided by detection and response protocols. Describe the existing nuclear detection capabilities of each principal partner:

- Equipment: Make, model, and quantity
- Training: Number of personnel trained for each equipment type
- Exercises: RND drills and exercises held over last three years
- RND Operations Plan: Yes or no. Summarize existing protocols and coordination mechanisms
- Sustainment: Describe funding source for existing equipment repair, training and exercises

- **Mutual Aid:** Describe existing law enforcement or first responder mechanisms for mutual aid or coordinated operations between principal partners

Need for Assistance: Explain proposed new capabilities for each principal partner and why financial assistance to support these capabilities is needed. Applicant must commit to sharing nuclear detection information among principal partners and with DNDO. Describe how assistance acquired through this SFOA will enable principal partners to proceed together with development of the regional detection approach/architecture.

Coordination with other DHS Programs: Describe how activities under the STC Program will coordinate with, but not duplicate, activities under other DHS-funded programs and other related programs.

Project Description: Supply a detailed scope of work for assistance requested through this SFOA. This scope of work should harmonize with the Budget Narrative and Justification (see item below). At a minimum, the scope must include:

- Regional goals and objectives linked to STC program goals and objectives listed in Section I: Funding Opportunity Description.
- The specific activities to meet each regional goal and objective.
- Metrics for success in meeting each regional objective. Provide a list of key performance indicators that you intend to use to measure progress against objectives listed in Section I.
- A Plan of Actions and Milestones (POAM) or Gantt chart with detailed descriptions showing work tasks and project milestones associated with each major STC task. Include estimated dates for information exchange methodology, training, exercises. Operations Plan development and equipment selection, purchase and deployment. This document must provide sufficient detail to allow DHS to evaluate the project schedule. A brief list of bullet points containing vague timeframes, with little or no explanation or illustration of task dependencies is unacceptable. This POAM or Gantt chart with detailed description will form the basis of the Regional Implementation Plan.
- Sustainment planning. The project description must introduce how the region will support and sustain STC capabilities beyond program completion of an award under this SFOA. Sustainment includes equipment calibration, maintenance, logistics and replacement; refresher training or training of new personnel; and periodic exercises. Describe potential sources of financial support in the future and the applicant's commitment to obtain future financial assistance beyond DNDO support. Detailed coverage of this topic will be required in Regional Sustainment Plan due eighteen (18) months from validated date.

To add detail to the project description, working drafts of the following documents are due to the STC Federal Program Manager by the dates indicated. Upon establishment of the administrative organization and personnel selection processing, as validated by the STC Federal Program Manager, the awardee will begin development and subsequent delivery of documents. Each document shall indicate concurrence by all STC principal partners. The STC Program Office will provide templates and significant assistance in the production of these documents as required:

- Regional Strategic Plan – six (6) months from validated date.
- Regional Organizational Chart – six (6) months from validated date.

- Committee Charters (if applicable) – six (6) months from validated date.
- Life-Cycle Cost Estimate – six (6) months from validated date.
- Regional Implementation Plan – nine (9) months from validated date.
- Regional Operations Plan – twelve (12) months from validated date.
- Regional Multi-Year Training and Exercise Plan – twelve (12) months from validated date.
- Information Exchange Plan – eighteen (18) months from validated date.
- Regional Sustainment Plan – eighteen (18) months from validated date.

Once finalized, each of the above documents should be placed in an annual review cycle to update as the program matures.

Management Experience: Describe the applicant’s experience in managing a regional effort that includes State, county, and local government entities, and other interstate or intrastate entities.

2. Budget Narrative and Justification

In the initial application, DHS envisions the applicant will provide detailed budget numbers for year one, with rough order of magnitude numbers for years two through five listing approximate breakdown of funding into equipment, training support, backfill/overtime expenses and program personnel expenses. Since the first year of the period of performance will entail planning and program construction, initial submission should include detailed budget line items associated with planning and program costs. DHS recommends the grant recipient establish a STC program office to manage the day-to-day administration of the program. This office should consist of a qualified full-time program manager and other part-time personnel required to locally manage the program (i.e. part-time financial specialist familiar with grant administration, a program analyst familiar with nuclear detection operations, and administrative specialists to perform clerical duties). At a minimum, a region-wide program manager is required.

Each year before incremental funding is added, DHS will expect detailed budget narratives that explain how the scope and the activities of the project will be supported.

Describe the key personnel and their activities, as well as how funds will be allocated to project activities. The budget narrative must include a full budget justification (see Section IX.B.3 of this announcement for cost categories to be addressed in the budget justification).

DHS strongly encourages applicants to use a budget justification format that documents the proposed budget by major task/activity, and apply the object class categories listed in Section IX.B of this announcement. For a sample budget format that might be helpful to applicants see Appendix 1, Section G, *Sample Budget Format*.

3. Management Process Description

Applicant must designate a region-wide program manager and provide a description of how participants will be organized to ensure unified effort resulting in a coordinated regional plan. Wiring diagrams depicting relationships would be appropriate. DHS urges that the committee structure be implemented, and to reduce travel expenses, schedule all committee meetings on a single day. In addition to addressing the items listed above in the project narrative, the applicant must submit a management process description explaining the working arrangements among all of the principal partners, including the applicant.

The management process description should include the following items but is not limited to:

- How each principal partner will receive assistance (which can include equipment, training, technical assistance).
- The arrangements for the implementation and administration of sub-awards. Describe the proposed business process for sub-awarding and describe payment procedures for sub-awardees.
- The roles and responsibilities of each principal partner, including, but not limited to:
 - What activities they agree to undertake.
 - What resources (if any) each party intends to bring to the project.
 - How differences in the implementation of a regional approach will be resolved among principal partners.

IV. Funding Restrictions

Restrictions on Use of Award Funds

DHS grant or cooperative agreement funds may only be used for the purpose set forth in the agreement and must be consistent with the statutory authority for the award. Grant or cooperative agreement funds and non-monetary support may not be used for cost-sharing or matching funds for other Federal grants, lobbying or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

1. Equipment purchases.
 - i. Prior to the purchase of equipment in the amount of \$5,000 or more per unit cost, the Recipient must obtain the written approval from DHS.
 - ii. The Recipient shall maintain an annual inventory, which will include a brief description of the item, serial number and amount of purchase for equipment purchased with grant/cooperative agreement funds, or received under a grant or cooperative agreement, and having a \$5,000 or more per unit cost. The inventory must also identify the sub-award under which the equipment was purchased.
 - iii. Insurance on the equipment will be the responsibility of the Recipient.
 - iv. Title of equipment will remain with the Recipient until closeout when disposition will be provided in writing by the DHS within 120 days of submission of final reports.
 - v. Equipment purchases are limited to those items that fall within the categories described in Appendix 1, Section B, *Eligible Equipment*.
2. Profit/Fee is not allowable except when subcontracting for routine goods and services with commercial organizations.
3. Foreign travel is not permitted under this announcement.
4. Construction costs are not allowable under this funding opportunity.
5. Pre-award costs are allowable only with the written consent of DHS and included in the award agreement.
6. Training is limited to those courses listed in Appendix 1, Section C, *Eligible Training*. Funds may be restricted in the event of the submission of an incomplete, untimely or noncompliant application.

V. Application Review Information and Selection Process

Application Review Information

DHS is committed to full and open competition among eligible entities. Ensuring an objective application rating system is crucial. DHS applies the following standards:

1. DHS Requires an objective review process which includes a panel of technical/programmatic expertise within and external to DHS.
2. DHS requires a conflict of interest check to be documented for all external reviewers.
3. DHS does not require in-person panel reviews.
4. All reviews will be documented and submitted to the DHS panel convening authority.
5. DHS makes all final funding decisions.

Application Selection Process

DHS will use two evaluation factors: threat, vulnerabilities, consequences to nation in the event of a successful attack; and viability of applicant's plan to build a regionally coordinated nuclear detection program. Threat, vulnerabilities, consequences will be evaluated for each applicant based on DHS resources vice information provided in the application. ***Threat, vulnerabilities, and consequences are more important than viability of applicant's plan.***

1. Threat, Vulnerabilities and Consequences. Based on ongoing intelligence analysis and extensive security reviews, DHS continues to focus the bulk of UASI funds based on risk analyses. Risk is evaluated at the Federal level using an analytical model developed by DHS in conjunction with other Federal entities. Risk is defined as the product of three principal variables:
 - Threat – the likelihood of an attack occurring
 - Vulnerability – the relative exposure to an attack
 - Consequence – the expected impact of an attackThe risk model used to allocate UASI funds considers the potential risk of terrorism to people, critical infrastructure and economic security and estimates the relative risk of terrorism faced by a given area. In evaluating risk, DHS considers the populations in a particular area that could be at risk, the concentration of people in the area and specific characteristics of their location that might contribute to risk, such as Intelligence Community assessments of threat, proximity to nationally critical infrastructure and the economic impact of an attack. In considering threat, DHS uses the Intelligence Community's best assessment of regions of the country and potential targets most likely to be attacked. For vulnerability and consequence, DHS considers the expected impact and consequences of successful attacks occurring in specific regions to people, the economy, critical infrastructure and national security facilities. STC will utilize this existing DHS risk model to evaluate threat vulnerabilities and consequences of a successful attack.
2. Viability of applicant's plan. Viability of the applicant's plan is composed of two sub criteria.
 - Project Narrative. The narrative details a feasible approach that makes progress towards achievement of the STC goals.
 - Management Process Description. The application will be evaluated on effectiveness of the proposed management process description to deliver an overall comprehensive program management approach. This approach should include lines of authority and

demonstrate the applicant's ability to manage allocated project personnel and to assign responsibilities within the overall program budget and schedules to complete all tasks and subtasks, meetings and deliverables. Application review will focus on how extensively the project includes or benefits different levels of government: local, tribal, State and Federal agencies. Evaluators will focus on whether the applicant has proposed a structure based upon a coordination framework for joint operations. During the implementation of STC in a region, DHS will assist regional partners in developing a vision for integrating and aligning Federal, State, regional and local elements into a larger strategy for the region (Strategic Plan for STC governance of an integrated nuclear detection and reporting architecture).

DHS will use the above criteria to evaluate applications. Proposals that do not provide satisfactory responses to these essential criteria will be deemed nonresponsive and returned. ***Project Narrative is more important than the Management Process Description.***

VI. Post-Selection and Pre-Award Guidelines

Notice of Award

In addition to program-specific administrative, financial, and reporting requirements outlined below, successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Terms and Conditions available at:

<http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

DHS issues formal award notification documents following fulfillment of DHS Congressional notifications. All DHS grants and cooperative agreements are subject to the standard DHS award Terms and conditions, which are attached to this FOA package. Program specific terms and conditions include:

The award will be made under a cooperative agreement and will be signed by the Grants Officer authorized to obligate DHS funding.

- Compliance
- The recipient and any sub-recipients must, in addition to the assurances made as part of the application, comply and require each of its sub-awardees, contractors and subcontractors employed in the completion of the project to comply with all applicable statutes, regulations, executive orders, Office of Management and Budget (OMB) circulars, terms and conditions of the award, and the approved application.
- Certifications and Assurances. Certifications and assurances regarding the following apply:
- LOBBYING. Section 319 of Public Law 101-121 prohibits the use of funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. DHS has codified restrictions upon lobbying at 6 CFR Part 9. (31 U.S.C. 1352)
- DRUG-FREE WORKPLACE ACT. Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. Also, place(s) where work is being performed under the award (i.e., street address, city, state and zip code) must be maintained on file. The recipient must notify the Grants Officer of any

employee convicted of a violation of a criminal drug statute that occurs in the workplace. (41 U.S.C. 701 et seq.)

- **DEBARMENT AND SUSPENSION.** Executive Orders (E.O.) 12549 and 12689 provide protection from fraud, waste, and abuse by debaring or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance.
- **FEDERAL DEBT STATUS.** The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (OMB Circular A-129)

Administrative and Federal Financial Requirements

A complete list of Federal Financial Requirements is available at:

http://www.whitehouse.gov/omb/grants_forms. All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available in Part 6.1.1 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Copyright and Data Rights

1. **Copyright:** The Recipient may publish, or otherwise exercise copyright in, any work first produced under this Agreement unless the work includes information that is otherwise controlled by the government (e.g. classified information or other information subject to national security or export control laws or regulations). For scientific, technical or other copyrighted work based on or containing data first produced under this Agreement, including those works published in academic, technical or professional journals, symposia proceedings or similar works, the Recipient grants the government a royalty free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for government purposes in all such copyrighted works. The Recipient shall affix the applicable copyright notices of 17 U.S.C. 401 or 402, and an acknowledgment of government sponsorship (including award number) to any works first produced under this Agreement.
2. **Data Rights: General Requirements.** The Recipient grants the Government a royalty free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in:
 - Any data that is first produced under this Agreement and provided to the Government; or
 - Any data owned by third parties that is incorporated in data provided to the Government under this Agreement.

“Data” means recorded information, regardless of form or the media on which it may be recorded. Requirements for sub-awards. The Recipient agrees to include in any sub-award made under this Agreement, the requirements of the Copyright and Data Rights paragraphs of this article and of 37 CFR 401.14.

Technology Transfer

Recipient agrees to work with the technology transfer component of recipient's institution to engage in technology transfer and commercialization activities associated with recipient's research using the funding received under an assistance agreement issued pursuant to this announcement.

Program Performance Reporting Requirements

1. Financial Reports
 - a. Quarterly Financial Status Reports. The Recipient shall submit a Federal Financial Report (SF 425) to the DHS Grants Officer no later than 30 after the end of the reporting period end date.
 - b. Final Financial Status Report. The Recipient shall submit the Final Financial Status Report (SF 425) to the DHS Grants Officer no later than 90 days after the project period end date.
 - c. Quarterly Federal Financial Reports (Cash Transaction). The Recipient shall submit the FFR (SF 425) Federal Cash Transaction Report to the Department of Health and Human Services, Payment Management System, Smartlink.
2. Performance and Progress Reports
 - a. Performance and Progress Reports will be submitted to the DHS Grants Officer.
 - b. The Recipient shall submit quarterly Progress Reports within 30 days of the reporting period.
 - c. Quarterly Progress Reports shall describe accomplishments in terms of the approved project objectives as detailed on POAM or Gantt chart. See Appendix 1, Section D, *Quarterly Report Format* for submission format and required reporting information.

Final Performance Reports shall be submitted 90 days after the expiration date of the Performance Period. See Appendix 1, Section E, *Final Report Format* for submission format and required reporting information.

VII. DHS Contact Information

Contact and Resource Information

DHS Grants Officer: Janet Bailey, DHS Grants Officer, janet.bailey@dhs.gov, 202-447-0362.

DHS Program Officer: Christopher Magrino, DHS/DNDO Program Officer, christopher.magrino@dhs.gov, 202-254-7443.

Component web address: http://www.dhs.gov/xabout/structure/gc_1298579972155.shtm

VIII. Other Critical Information

Additional Information

Supplemental information in Appendix 1 may be found on grants.gov.

IX. How to Apply

Application Instructions

How to Submit an Application

****IMPORTANT!**** To avoid submission errors you must ONLY CREATE, SAVE & SUBMIT application in an Adobe Reader version compatible with Grants.gov documents. Applications packages should be prepared using the same version of Adobe Reader.

1. Applications must be submitted electronically through Grants.gov. If the applicant encounters difficulties, please contact the Grants.gov Help Desk at 1-800-518-4726 to report the problem and obtain assistance with the system.
2. **Once the application is submitted and accepted in grants.gov, applicant should email janet.bailey@dhs.gov and Christopher.magrino@dhs.gov and provide the grants.gov tracking number shown on your submission receipt.**
3. To submit an application through Grants.gov, applicants must use Adobe Reader. You must use a version of Adobe Reader that is compatible with Grants.gov. Adobe Reader is available from Grants.gov at no charge.
4. The applicant must have a DUNS number to submit an application through Grants.gov.

NEW REQUIREMENTS: Final guidance provided by the Office of Management and Budget (OMB) in a Federal Register notice on September 14, 2010 established requirements for all financial assistance applicants, recipients and sub-recipients to maintain and use a DUNS number, and to require that applicants maintain a registration in the CCR.

a. Pursuant to 2 CFR Part 25, any entity applying through this Standing Funding Opportunity Announcement (SFOA) that is not exempt under 2 CFR 25.110 is required to:

- 1) Be registered in the CCR prior to submitting an application or plan;
- 2) Provide its DUNS number in each application or plan it submits to DHS. A DUNS number is the nine-digit number established and assigned by Dun & Bradstreet, Inc. (D&B) to uniquely identify business entities. You may obtain a DUNS number from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>);
- 3) Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by DHS. To remain registered in the CCR database after the initial registration, the you must review and update on an annual basis from the date of initial registration or subsequent updates its information in the CCR database to ensure it is current, accurate and complete.

b. Effect of non-compliance.

- 1) Applicant: If, at time of award, the intended recipient has not complied with the requirements to provide a DUNS number and maintain an active CCR registration with current information, DHS will determine that the applicant is not qualified to receive an award; and will use that determination as a basis for making an award to another applicant.
- 2) Sub-recipients: A sub-recipient is any entity that receives sub-awards directly from a recipient of DHS awards; and is accountable to the award recipient for the use of the Federal funds provided by the sub-award.

- a) Applicants that receive awards must notify potential sub-recipients that no entity may receive a sub-award from the applicant unless the proposed sub-recipient has provided its DUNS number to the applicant.
 - b) Applicants that receive awards may not make a sub-award to an entity unless the proposed sub-recipient has provided its DUNS number to the applicant.
 - c) DHS will request the DUNS number(s) of proposed sub-recipients when an applicant has been selected for funding. DHS reserves the right to limit, restrict or otherwise place special conditions on an award under this Funding Opportunity Announcement to ensure that sub-recipients have DUNS numbers.
- c. All new grant and cooperative agreement awards issued by DHS will contain an award term that implements the OMB guidance.
5. Federal Financial Accountability and Transparency Act (FFATA) Sub-award and Executive Compensation Reporting Requirement.

NEW REQUIREMENTS: Interim final guidance provided by OMB in a Federal Register notice on September 14, 2010 established requirements for recipients' reporting of information on sub-awards and executives' total compensation, as required by the Federal Funding Accountability and Transparency Act of 2006. This guidance applies to all entities that apply for or receive DHS awards, or receive sub-awards under those awards, with certain exemptions and exceptions.

- a. Exemption: If, in the previous tax year, your organization had gross income, from all sources, under \$300,000, you are exempt from the requirements to report sub-awards, and the total compensation of the five most highly compensated executives of any sub-recipient. DHS reserves the right to request authoritative documentation that would support a request to exercise this exemption.
- b. Exception: 2 CFR 170.110 provides an exception from the executive compensation reporting requirements by a primary award recipient, or a sub-recipient's organization (in the case of reporting executive compensation for sub-recipient executives).

None of the requirements regarding reporting names and total compensation of an entity's five most highly compensated executives apply unless in the entity's preceding fiscal year, it received:

- 1) 80 percent or more of its annual gross revenue in Federal procurement contracts (and subcontracts) and Federal financial assistance awards subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); AND
- 2) \$25,000,000 or more in annual gross revenue from Federal procurement contracts (and subcontracts) and Federal financial assistance awards subject to the Transparency Act, as defined at 2 CFR 170.320; AND
- 3) The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

DHS reserves the right to request authoritative documentation that would support a request to exercise this exception.

Reporting of sub-awards is still required even if your organization meets these tests:

- c. Sub-award reporting: Unless your organization is exempt from reporting (see 1 above), you must report each action that obligates \$25,000 or more in Federal funds for a sub-award to an entity. The \$25,000 threshold does not include Recovery funds (as defined in the American Recovery and Reinvestment Act of 2009, Pub. L. 111–5). You will report sub-award information at <http://www.fsrs.gov>.
- d. Reporting Executive Compensation - Primary award recipient. If your organization does not meet all of the requirements for the exception (see 2 above), you must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year. You will report this information as part of your registration profile at <http://www.ccr.gov>.
- e. Reporting Executive Compensation – Sub-award recipients. For each sub-award recipient that does not meet all of the requirements for the exception (see 2 above), you must report the names and total compensation of each of the sub-recipient’s five most highly compensated executives for the sub-recipient’s preceding completed fiscal year. You will report sub-award recipient executive compensation information at <http://www.fsrs.gov>.
- f. All prime recipients awarded through this Funding Opportunity Announcement who do not have an exemption under 2 CFR 170.110 are required to have the necessary processes and systems in place to comply with the reporting requirements. DHS encourages you to visit www.fsrs.gov, which is the reporting portal for sub-recipient and executive compensation information. In addition, www.usaspending.gov has many resources available on the sub-recipient and executive compensation reporting requirements.
- g. All new grant and cooperative agreement awards issued by DHS will contain an award term that implements the OMB guidance.

6. We may request that you provide original signatures on forms at a later date.

You must complete the mandatory forms 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 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).

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. Please see the additional information in Appendix 1, Section F, *Eligible Costs*.

4. Certifications/Assurances.

a. 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.

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

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 (see Section III).

7. Management Process Description. Attach the Management Process Description (see Section III).

8. MOUs, letters of commitment, opinion of counsel. Attach the MOUs, letters of commitment and/or the opinion of counsel (see Section III, Project Narrative).

9. Indirect Cost Rate Agreements.

10. 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.

X. Application and Submission Information

1. Applicants will obtain SFOA Overviews and Full Announcement information from the Grants.gov website where the full SFOA is posted.

2. Applications will be processed through the Grants.gov