

GRANT

X COOPERATIVE AGREEMENT

**FINANCIAL ASSISTANCE AWARD****ACCOUNTING CODE**

\*\* See Attached\*\*

**RECIPIENT NAME**

Identity Ecosystem Steering Group, Inc.

**AWARD NUMBER**

70NANB14H215

**STREET ADDRESS**

6809 Groveton Road

**FEDERAL SHARE OF COST**

\$1,663,094.00

**CITY, STATE ZIP**

Manassas, VA 20109

**RECIPIENT SHARE OF COST**

\$0.00

**AWARD PERIOD**

08/01/2014 - 07/31/2017 \*

**TOTAL ESTIMATED COST**

\$1,663,094.00

**AUTHORITY**

15 USC 272 b1, b4, c12, c14

**CFDA NO. AND PROJECT TITLE:**

11.619 NSTIC Identity Ecosystem Framework Development Program

**This Award approved by the Grants Officer is issued in triplicate and constitutes an obligation of Federal funding. By signing the three documents, the Recipient agrees to comply with the Award provisions checked below and attached. Upon acceptance by the Recipient, two signed Award documents shall be returned to the Grants Officer and the third document shall be retained by the Recipient. If not signed and returned without modification by the Recipient within 30 days of receipt, the Grants Officer may unilaterally terminate this Award.**

☒ Department of Commerce Financial Assistance Standard Terms and Conditions (January 2013)☒ Special Award Conditions☒ Line Item Budget☒ 15 CFR Part 14, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Non-Profit, and Commercial Organizations

15 CFR Part 24, Uniform Administrative Requirements for Grants and Agreements to State and Local Governments

OMB Circular A-21, Cost Principles for Educational Institutions

OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments

☒ OMB Circular A-122, Cost Principles for Nonprofit Organizations

48 CFR Part 31, Contract Cost Principles and Procedures

☒ OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations☒ Other(s) \* Funding Limitations Clause, See Special Award Condition B.3.

SIGNATURE OF DEPARTMENT OF COMMERCE GRANTS OFFICER

Scott McNichol

TITLE

GRANT OFFICER

DATE

07/25/2014

TYPED NAME AND SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL

Kimberly Little

TITLE

Corporate Treasurer

DATE

7/29/2014

Award Number: 70NANB14H215, Amendment Number 0

Federal Program Officer: David Temoshok

Requisition Number: 7704484

Employer Identification Number: 464120769

Dun and Bradstreet Number: 079209670

Recipient ID:

Requestor ID:

**Award ACCS Information**

Bureau	FCFY	Project-Task	Organization	Object Class	Obligation Amount
57	2014	7700261-000	30-77-0770-01-00-00-00	41-1-00-00	\$1,663,094.00

**Award Contact Information**

Contact Type	Contact Name	Email	Phone
Administrative	Ms. Mary Ellen Condon	mecondon@condonassociates.com	301-466-6746

**NIST Grants Officer:**

Scott McNichol  
100 Bureau Drive, MS 1650  
Gaithersburg, MD 20899-1650  
(301) 975-5603

**NIST Grants Specialist:**

Dean Iwasaki  
100 Bureau Drive, MS 1650  
Gaithersburg, MD 20899-1650  
(301) 975-8449

NIST Cooperative Agreement No.: 70NANB14H215  
Amendment: NEW  
Recipient: Identity Ecosystem Steering Group, Inc.

**NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY (NIST)  
FINANCIAL ASSISTANCE  
SPECIAL AWARD CONDITIONS**

**A. OVERVIEW**

**1. Introduction**

The National Institute of Standards and Technology hereby enters into this cooperative agreement number 70NANB14H215 with the Identity Ecosystem Steering Group, Inc. to support the scope of work and budget described in the Recipient's proposal entitled "NSTIC Identity Ecosystem Framework Development Program" dated 05/14/2014, and amended on 06/09/2014, 06/10/2014, 06/13/2014, 06/30/2014, and 07/09/2014 which are hereby incorporated into this award by reference. Where the terms of this award and the proposal differ, the terms of this award shall prevail.

**2. Description of Work**

The Recipient is expected to advance and accelerate the development of the National Strategy for Trusted Identities in Cyberspace (NSTIC) Identity Ecosystem Framework and the implementation of that framework by developing activities across all Identity Ecosystem Steering Group (IDESG) committees and coordinating and integrating work streams and objectives; provide technical resources to support major work streams and advance objectives; provide and maintain infrastructure that supports transparency, openness, and alignment with the NSTIC guiding principles; establish and maintain an IDESG outreach program to inform and educate stakeholders; and assist the IDESG in transitioning to a self-sustaining organization.

**3. The Recipient Contact Information**

Mary Ellen Condon  
Executive Director  
Identity Ecosystem Steering Group, Inc.  
6809 Groveton Road  
Manassas, VA 20109  
Telephone: 301-466-6746  
Email: mecondon@condonassociates.com

**4. The NIST Award Contact Information**

**Grants Officer**

Scott McNichol  
National Institute of Standards and Technology  
100 Bureau Drive, Mail Stop 1650  
Gaithersburg, MD 20899-1650

NIST Cooperative Agreement No.: 70NANB14H215

Amendment: NEW

Recipient: Identity Ecosystem Steering Group, Inc.

Telephone: 301-975-5603

Email: scott.mcnichol@nist.gov

**Grants Specialist**

Dean Iwasaki

National Institute of Standards and Technology

100 Bureau Drive, Mail Stop 1650

Gaithersburg, MD 20899-1650

Telephone: 301-975-8449

Email: dean.iwasaki@nist.gov

**Federal Program Officer**

David Temoshok

U.S. Department of Commerce

1401 Constitution Avenue, NW

Washington, DC 20230

Telephone: 202-482-5475

Email: david.temoshok@nist.gov

---

**B. PROJECT MANAGEMENT AND BUDGET IMPLEMENTATION TERMS**

**1. Cooperative Agreement/NIST Participation**

This award is issued as a Cooperative Agreement, a financial assistance mechanism in which substantial NIST programmatic involvement is anticipated in the performance of the activity. NIST will collaborate with the Recipient as described in the scope of work.

In cooperative agreements, NIST has the right to intervene in the conduct or performance of project activities for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities. NIST reserves the right to be substantially involved in directing the work performed under the resulting award to ensure the project is the most beneficial to achieving the goals of the NSTIC as determined necessary and appropriate by NIST.

Substantial involvement is appropriate to protect the Government's interest in ensuring the success of the Project, the flow of critical information to NIST, and that the technology and processes developed pursuant to the Project will be applicable to the project objectives.

Substantial involvement consists of NIST providing technical guidance and collaboration to the Recipient in the form of ad-hoc working teams in addition to incremental program reviews regarding Privacy, Security, Interoperability, User Experience and other aspects of importance to NIST and the furtherance of the identity ecosystem. NIST reserves the right to conduct independent validation and testing of products, outcomes, or results if necessary.

In addition, consistent with the Final Office of Management and Budget Guidance Implementing the Federal Grant and Cooperative Agreement Act, 43 Fed. Reg. 36860-65 (Aug. 18, 1978), NIST involvement in this cooperative agreement may also include the following actions. Specific implementation of some of these actions is further described in the Program and Financial Management Special Award Conditions for this award.

- a. Authority to halt immediately an activity if detailed performance specifications (e.g., milestones) are not met. Refer to the Special Award Condition on Project Reporting, Financial and Performance Project Report Schedule, Non-Proprietary Project Updates for information about development of milestones;
- b. Requiring that the Recipient meet or adhere to specific procedural requirements before subsequent stages of a NIST-funded project may continue;
- c. Approving substantive provisions of proposed subawards, participating in the selection of subawards, approving "Requests for Proposals" or "Invitations for Bids" to be issued by the Recipient or subrecipients, and approving a subrecipient before a subaward may be awarded;
- d. Participating in selection of key personnel. The Recipient has final authority over its own personnel;
- e. Specifying direction or redirection of the scope of work due to inter-relationships with other projects, including but not limited to requiring the Recipient to achieve a specific level of cooperation with other projects that may or may not be funded by NIST. The Recipient is expected to participate in the NSTIC Identity Ecosystem Steering Group and cooperate with NSTIC activities. See <http://www.nist.gov/nstic/>; and
- f. Limiting Recipient discretion with respect to scope of work, organizational structure, staffing, mode of operations and other management processes, coupled with close monitoring or operational involvement during performance.

## **2. Policies Incorporated by Reference:**

The following documents include policies, terms and conditions incorporated by reference into this award. The Recipient is responsible for compliance with applicable requirements.

### **a. The Department of Commerce Financial Assistance Pre-Award Notice:**

The Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements as published in the *Federal Register* on December 17, 2012 (77 FR 74634) is incorporated by reference into this award. It is accessible at: <http://www.gpo.gov/fdsys/pkg/FR-2012-12-17/pdf/2012-30228.pdf>

NIST Cooperative Agreement No.: 70NANB14H215  
Amendment: NEW  
Recipient: Identity Ecosystem Steering Group, Inc.

**b. Cooperative Agreement Announcement – National Strategy for Trusted Identities in Cyberspace Cooperative Agreement for the Identity Ecosystem Steering Group:**

The Department of Commerce, National Institute of Standards and Technology Announcement of the National Strategy for Trusted Identities in Cyberspace Cooperative Agreement for the Identity Ecosystem Steering Group, dated May 2, 2014, is incorporated by reference into this award (see attached).

**c. Department of Commerce Financial Assistance Standard Terms and Conditions:**

As indicated on the CD-450 cover sheet to this award and any applicable amendments, the Department of Commerce Financial Assistance Standard Terms and Conditions are incorporated by reference into this award. These Terms and Conditions are accessible at: [http://www.osc.doc.gov/oam/grants\\_management/policy/documents/DOC\\_Standard\\_Terms\\_and\\_Conditions\\_01\\_10\\_2013.pdf](http://www.osc.doc.gov/oam/grants_management/policy/documents/DOC_Standard_Terms_and_Conditions_01_10_2013.pdf)

**3. Funding Limitations**

The scope of work and budget incorporated into this award cover the period from August 1, 2014 to July 31, 2017 (referred to as the "project period"), for a total of \$4,450,000 in Federal funds. However, Federal funding available at this time is limited to \$1,663,094 for the period from August 1, 2014 through July 31, 2015 (referred to as the "funding period").

Receipt of any funding beyond the funding period specified at this time up to the level projected under this award is contingent upon the availability of funds, satisfactory performance, and continued relevance to program objectives, and will be at the sole discretion of the National Institute of Standards and Technology (NIST). The Grants Officer may require additional clarification to support the budget. If that results in changes to the budget or budget narrative, the Recipient shall submit, in writing, a revised budget and/or budget narrative to the Grants Officer for approval.

The Recipient may not obligate, incur any expenditure, nor engage in any activity that involves a commitment of Federal funds under this Agreement in excess of the Federal amount presently available.

No legal liability exists or will result on the part of the Federal Government for payment of any portion of the remaining funds, which have not been made available under this award.

If additional funds are not made available, any expenses incurred related to termination or closeout activities must be funded from the amount already made available under this award.

The notice of availability or non-availability of additional funding for subsequent funding or budget periods will be made in writing by the Grants Officer. Only the Grants Officer is authorized to obligate funds. No other verbal or written notice should be relied upon by the Recipient. In the absence of a written notice of additional funding by the Grants Officer on Form

NIST Cooperative Agreement No.: 70NANB14H215

Amendment: NEW

Recipient: Identity Ecosystem Steering Group, Inc.

CD-451, "Amendment to Financial Assistance Award" no assumption should be made by the Recipient that the funds will be forthcoming.

Future estimated budget/funding amount and funding period:

\$1,409,036 for the period 08/01/2015 to 07/31/2016

\$1,377,870 for the period 08/01/2016 to 07/31/2017

#### **4. Funding Activity Restrictions**

Funding under this award may not be used to pay for time, labor, professional services or management fees, profit, or similar costs of Committee Chairs or members of the IDESG Management Council.

In addition, Subject Matter Experts (SMEs) funded under this award may not serve as IDESG Committee Chairs or as members of the IDESG Management Council.

#### **5. Key Personnel**

Success of the project is contingent on the specialized expertise of the members on the project. The following individuals are named as key personnel:

Mary Ellen Condon

Kimberly Little

In accordance with 15 C.F.R. 14.25, written prior approval of the Grants Officer is required if any of the individuals named above withdraws from the project entirely, is absent from the project during any continuous period of three-months or more, or reduces time devoted to the project by 25-percent or more from the level that was approved at the time of award.

#### **6. NIST Publication Guidelines**

The Department of Commerce Standard Term and Condition L.10., Publications, Videos and Acknowledgement of Sponsorship, is repeated below for convenience, with specific NSTIC implementation after each paragraph.

- a. Publication of results or findings in appropriate professional journals and production of video or other media is encouraged as an important method of recording, reporting and otherwise disseminating information and expanding public access to federally-funded projects (*e.g.*, scientific research).
  - NSTIC specifically encourages open information sharing and publication on the Internet and in other appropriate venues to the maximum extent practicable, consistent with underlying principles described in the White House Office of Science and Technology Policy memorandum of February 22, 2013 on Increasing



Access to the Results of Federally Funded Scientific Research. Although this project is not in support of research, NSTIC and the IDESG seek to have a significant impact on innovation, and open access to project information is critical to its success. The February 22, 2013 White House memo is available at: [http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp\\_public\\_access\\_memo\\_2013.pdf](http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf)

- b. Recipients may be required to submit a copy of any publication materials, including but not limited to print, recorded or Internet materials, to the funding agency.
  - The NSTIC Recipient shall submit a copy of any published work to the Federal Program Officer and inform the Federal Program Officer of Internet sites and applications it publishes. NIST review prior to publication is not required.
- c. When releasing information related to a funded project, recipients must include a statement that the project or effort undertaken was or is sponsored by DOC.
- d. Recipients are responsible for assuring that every publication of material based on, developed under, or otherwise produced under a DOC financial assistance award, except scientific articles or papers appearing in scientific, technical or professional journals, contains the following disclaimer or other disclaimer approved by the Grants Officer:

*This [report/video/etc.] was prepared by [recipient name] using Federal funds under award [number] from [name of operating unit], U.S. Department of Commerce. The statements, findings, conclusions, and recommendations are those of the author(s) and do not necessarily reflect the views of the [name of operating unit] or the U.S. Department of Commerce.*

- Given the nature of NSTIC, Internet publication is specifically encouraged, and the appearance of commercial endorsement might be a concern. Accordingly, NIST would accept language such as the following to implement Commerce Term L.10.d. for Internet and electronic materials (e.g. websites, blogs, etc.) in this project:

*"This site is maintained by the Identity Ecosystem Steering Group, Inc. with the support of the National Strategy for Trusted Identities in Cyberspace (NSTIC) National Institute of Standards and Technology (NIST). The views expressed do not necessarily reflect the official policies of the NIST or NSTIC; nor does mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government."*

## **7. Project Reporting, Monitoring, Collaboration Schedule**

The Recipient is required to submit financial (SF-425) and performance (technical) reports as described in the Department of Commerce Financial Assistance Standard Terms and Conditions



A.01 and B.01, 15 C.F.R. 14.51-52, on a quarterly basis for the periods ending March 31, June 30, September 30, and December 31 each year, in addition to a final SF-425 and technical progress report upon the conclusion of the award. Reports are due 30-days after each reporting period with the exception of the final closeout documents. Reports should be submitted to the Federal Program Officer and the Grants Management Specialist named on the award.

**a. Minimum Contents of Performance Reports**

As prescribed by 15 CFR 14.51, the technical progress report should at a minimum include the following:

- i. Comparison of actual accomplishments with the goals and objectives established for the period from the detailed project plan (see below). Whenever appropriate and the output of the programs or projects can be readily identified, such quantitative data should be related to cost data for computation of unit costs;
- ii. Reasons why established goals were not met, if appropriate;
- iii. Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs;
- iv. To support item i. above, an addendum describing all anticipated IDESG outputs, their priority, prioritization relative to other outputs, current status of each output, an updated project plan that lays out interim deadlines, committee ownership, level of approval needed, and dependencies;
- v. An addendum listing all Subject Matter Experts (SMEs) used during the quarter, the total hours for each SME and which committee(s) each SME supported for what percentage of their time;
- vi. Any expected deviation from previously set milestones for the next quarter, if applicable.

**b. Nonproprietary Project Updates**

At intervals, the Federal Program Officer (FPO) may require non-proprietary project updates describing the current status of the project and its results for the general public for dissemination in NIST publications or on the internet.

**c. Monitoring and Collaboration Schedule**

Consistent with Special Award Condition B.1. Cooperative Agreement/NIST Participation, in addition to technical and program activity collaboration, the Recipient is expected to regularly consult and collaborate with the Federal Program Office regarding the project as appropriate, including the following:

- i. ***Bi-weekly.*** Participate in progress calls, which are ordinarily scheduled bi-weekly. Adjustments and ad hoc calls are scheduled as needed. The status of the project including the status of all anticipated IDESG outputs, their priority and prioritization relative to other outputs, the current status of each output, and the updated project plan may be reviewed;
- ii. ***Within 21 days.*** Within 21 days of the award date, submit to NIST a detailed project plan to lay out milestones for execution and to account for project-specific needs, activities or challenges;
- iii. ***Within 30 days.*** Within 30 days of the award date, participate in an in-person Kickoff meeting to review the project plan, milestones, and risks;
- iv. ***Within 60 days.*** Within 60 days of the award date review, agree upon a set of quarterly milestones;
- v. ***By 9/20/2014.*** By September 20, 2014, provide a Strategic Plan, approved by its board of directors, that addresses the topics described in the answer to Question 10 in the June 8, 2014, IDESG response to questions from NIST. This Strategic Plan should address how IDESG will leverage Federal assistance dollars and external resources to execute against it;
- vi. ***Quarterly.*** Engage with NIST on a quarterly basis if requested to address any matters that may arise in quarterly technical and financial reports, quarterly milestones under d., and Strategic Plan implementation;
- vii. ***Annual Review.*** Participate in an Annual Review Meeting, which is anticipated at the end of the first year;
- viii. ***Revisions.*** In the course of implementing this Monitoring and Collaboration, NIST may direct the Recipient to revise the project scope of work.

#### **d. Proprietary Information**

Once an award is made, most grant-related information submitted to NIST, either in the application or in the post-award phase is considered public information and is subject to possible release under the Freedom of Information Act (FOIA), as referenced in the Department of Commerce Financial Assistance Pre-Award Notice, Special Award Condition 2.A., and 15 C.F.R. Sec. 4.9. Recipients should clearly mark any portions of applications, reports, presentations, etc. that the organization considers to be trade secrets, privileged or confidential.

In addition, the Recipient is notified that contractor personnel may assist NIST in NSTIC programmatic and technical management, grants administration, and auditing. Accordingly, the Recipient agrees, and hereby consents, that non-Federal personnel assisting NIST may

have access to information the Recipient submits to NIST, including information the Recipient considers trade secrets, privileged, or confidential. NIST may ask programmatic or technical contractors that may have access to Recipient information to sign non-disclosure agreements. Current program contractors have signed such agreements.

#### **e. Program Income**

Reaching organizational self-sufficiency and continuing project activities without Federal support by the end of the multi-year award period is a key project purpose envisioned in the Program Description and Scope of Work incorporated in Special Award Conditions A.1 and B.2.b. Developing sources of program income is anticipated as an important means of achieving this objective. Accordingly, the Recipient provided a budget on July 09, 2014 with projected annual program income targets. These targets are listed to establish goals and assist in projecting outcomes but are not required cost share for this project.

Pursuant to 15 CFR 14.24, program income earned during the project period shall be retained by the Recipient **and** added to Federal funds committed to the project to further allowable objectives. The Recipient is reminded that profit is not an allowable cost or project objective. Under 15 C.F.R. 14.22(g), the Recipient shall disburse program income funds before requesting additional Federal payments.

As a result, if projected annual program targets are met, the project will gradually expand from the initial Federal seed funding. NIST and the Recipient may review the Recipient's progress toward organizational self-sufficiency, including program income goals, in quarterly financial reports and as needed. This may result in revisions to the goals, scope of work, budget, and/or award terms.

In addition, 90-days prior to the start of each project year, the Recipient shall provide to the NIST Federal Program Officer and NIST Grants Officer a revised budget or a statement that the previously approved budget, including program income targets, remains in effect.

To help fulfill the project expansion envisioned by the "additive" program income approach, the Recipient should make efforts to avoid having unexpended program income remaining at award expiration. The Recipient may request a no-cost extension if appropriate. In the event the Recipient has unexpended program income remaining at award expiration, it will be remitted to NIST in accordance with closeout instructions provided to the Recipient.

### **8. Meeting Registration Notification**

Within 30-days of the issuance of this award, the Recipient must submit a plan to the Federal Program Office with a copy to the NIST Grants Office, outlining the process for notifying NSTIC of individuals who are registered for any meetings and conferences held under this award.

The notification should include the individual's contact information and affiliation. NIST and the Recipient agree that the Recipient will notify NSTIC of registration information within three (3) work days of the registration and provide a list of pre-registered attendees before each event, and a list of actual attendees after each event.

## **9. Data Portability**

Any knowledge or infrastructure developed under this award, including but not limited to membership databases, online presence (e.g. Twitter handle, webpages, Wiki pages), and documents, both draft and final, must be transferred to NIST in the event that IDESG, Inc. ceases operations as an independent organization. NIST may designate an alternate organization to receive this data and infrastructure.

---

## **C. FINANCIAL MANAGEMENT TERMS**

### **1. Amendment to Department of Commerce Financial Assistance Standard Terms and Conditions, dated January 2013, Section A.02, Award Payments**

- a.** The advance method of payment shall be authorized unless otherwise specified in a special award condition.
- b.** Payments will be made through electronic funds transfers, using the Department of Treasury's Automated Standard Application for Payment (ASAP) system, and in accordance with the requirements of the Debt Collection Improvement Act of 1996. The following information is required when making withdraws for this award: (1) ASAP account identification (id) = award number found on the cover sheet of this award; (2) Agency Location Code (ALC) = 13060001; and (3) Region Code = 01. Recipients do not need to submit a "Request for Advance or Reimbursement" (SF-270) for payments relating to this award. All non-ASAP Recipient Organizations must enroll electronically. The ASAP system no longer accepts paper forms for enrollment.
- c.** If you are not currently enrolled in the ASAP system, you must provide the Federal Awarding Agency with a Point of Contact name, e-mail address, mailing address, telephone number, and EIN/TIN and DUNS numbers of your organization that are consistent with the information on the System for Award Management ([www.SAM.gov](http://www.SAM.gov)) in order for the Federal Awarding Agency Enrollment Initiator (EI) to begin the on-line enrollment. For complex organizations with multiple EIN/TIN and DUNS numbers, the EIN/TIN and DUNS numbers MUST be the numbers for the applying organization from the SF-424 application form. Organizations that provide incorrect/inconsistent EIN/TIN and DUNS numbers may experience significant delays in receiving funds. Please confirm that the EIN/TIN and DUNS numbers are consistent with the information on the [SAM.gov](http://SAM.gov). If you have questions concerning this requirement, please contact the Grants Specialist responsible for this award. If you have questions on the electronic process' step-by-step instructions, you may contact your responsible Regional Finance Center.

- d. Advances taken through the ASAP shall be limited to the minimum amounts necessary to meet immediate disbursement needs. Advanced funds not disbursed in a timely manner must be promptly returned, via an ASAP credit, to the account from which the advanced funding was withdrawn. Advances shall be for periods not to exceed 30-days.
- e. This award has the following control or withdrawal limits set in ASAP:

<u>          </u>	None
<u>  X  </u>	Agency Review required for all withdrawals (see Explanation below)
<u>          </u>	Agency Review required for all withdrawal requests over \$ <u>          </u> (see explanation below)
<u>          </u>	Maximum Draw Amount controls (*see Explanation below):
	\$ <u>          </u> each month
	\$ <u>          </u> each quarter
	\$ <u>          </u> each year

**Explanation:**

Agency review for all withdrawals has been set to ensure the Recipient is capable of meeting NIST financial management requirements. Supporting documentation that validates all costs contained in each request for reimbursement must be provided to the NIST Grants Officer. The reimbursement request will not be released without proper documentation.

This restriction will be considered for removal upon completion of the accounting system certification process outlined in Special Award Condition C.4., and demonstration of continued compliance with the terms and conditions of this award within 90-days of consecutive error-free reimbursement requests.

**2. Return Payments for Funds Withdrawn through ASAP**

Funds that have been withdrawn through ASAP may be returned to ASAP via the Automated Clearing House (ACH) or via FEDWIRE. The ACH or FEDWIRE transaction can only be done by the Recipient's financial institution. Full or partial amounts of payments received by a Payment Requestor/Recipient Organization may be returned to ASAP. All funds returned to the ASAP system will be credited to the ASAP Suspense Account. The Suspense Account allows the Regional Financial Center to monitor returned items and ensure that funds are properly credited to the correct ASAP account. Returned funds that cannot be identified and classified to an ASAP account will be dishonored and returned to the originating depository financial institution (ODFI).

It is essential that the Payment Requestor/Recipient Organization provide its financial institution with ASAP account information (ALC, Recipient ID and Account ID) to which the return is to be credited. Additional detailed information can be found at <http://www.fms.treas.gov/asap/pay-return2.pdf>.

### **3. Interest**

If the recipient is a state or local government, 15 CFR 24.21 applies. Otherwise, this award is subject to 15 CFR 14.22, requiring recipients of Federal financial assistance to maintain advances of Federal funds in interest bearing accounts.

When submitting interest payments as required under 15 CFR 14.22(l), the complete address for remitting checks for interest earned on Federal advances is Department of Health and Human Services, Payment Management System, P.O. Box 6021, Rockville, MD 20852. Recipients that do not have electronic remittance capability should send a check to this address.

In keeping with Electronic Funds Transfer rules, interest should be remitted to the HHS Payment Management System through an electronic medium such as the FEDWIR Deposit System.

Electronic remittances should be in the format and should include any data that are specified by the HHS as being necessary to facilitate direct deposit in HHS' account at the Department of Treasury.

### **4. Requirement for Accounting System Certification**

The Recipient, when receiving Federal Funds, must have a functioning financial management system that meets the provisions of 15 C.F.R. 14.21 to ensure proper accountability of funds. Therefore, the Identity Ecosystem Steering Group, Inc. must submit an Accounting System Certification, issued by an Independent Certified Public Accountant (CPA), to the NIST Grants Officer **within 60-days** from the date of this award. A sample Accounting System Certification is attached.

### **5. Closeout**

Timely and complete compliance with 15 CFR 14.71, Closeout, will be considered as part of the overall programmatic and financial performance of the Recipient. In accordance with Section 14.71, the Recipient shall submit, within 90-calendar days after the date of completion of the award, all financial, performance, and other reports as required by the terms and conditions of the award, including any real and personal property acquired under the award. The Grants Officer may approve an extension upon written request by the Recipient.

---

SAMPLE  
Accounting System Certification

Date

Name/Address of Recipient

Dear Mr./Ms. \_\_\_\_\_:

We conducted a survey to determine the capabilities of the accounting system to be used by [Insert Recipient's Name] of [Insert Recipient's City, State], for recording costs under a government-sponsored grant or cooperative agreement awarded by the National Institute of Standards and Technology (NIST).

Our evaluation has confirmed that the [Insert Recipient's Name] has an accounting system in place that is capable of meeting the requirements of 15 CFR Part 14.21 or 15 CFR Part 24.20 "Standards for Financial Management Systems," as it relates to recording and accumulating costs under a government-sponsored grant or cooperative agreement.

We conclude that the accounting system has the capability of separately recording allocable costs under the NIST grant or cooperative agreement in conformance with the applicable cost principles, specifically to the organization type (*checked below*):

√	Type Organization	Regulation	Web Site
	Not For Profit Entities	15 CFR Part 14	<a href="http://www.doc.gov/oebam/cfr14.htm">http://www.doc.gov/oebam/cfr14.htm</a>
	State and Local Governments	15 CFR Part 24	<a href="http://www.doc.gov/oebam/part24.htm">http://www.doc.gov/oebam/part24.htm</a>
	For Profit Entities	48 CFR Part 31.2	<a href="http://www.arnet.gov/far/97-03/html/31.html">http://www.arnet.gov/far/97-03/html/31.html</a>
	Institutions of Higher Education Non-Profit Organizations State and Local Governments	OMB Circulars A-21, A-122, A-87	<a href="http://www.whitehouse.gov/omb/circulars/a021/a021.html">http://www.whitehouse.gov/omb/circulars/a021/a021.html</a> <a href="http://www.whitehouse.gov/omb/circulars/a122/a122.html">http://www.whitehouse.gov/omb/circulars/a122/a122.html</a> <a href="http://www.whitehouse.gov/omb/circulars/a087/a087-all.html">http://www.whitehouse.gov/omb/circulars/a087/a087-all.html</a>
	Hospitals	45 CFR Part 74 (E)	<a href="http://www.access.gpo.gov/nara/cfr/cfr-table-search.html">http://www.access.gpo.gov/nara/cfr/cfr-table-search.html</a> (click on Title 45 and <i>Continue</i> , Click on Volume 1, use the <i>Search Terms: 45 CFR Part 74, Exhibit E</i> and Submit, click on 45CFR74—PART 74—UNIFORM ADMINISTRATIVE REQUIREMENTS FOR AWARDS AND SUBAWARDS—Exhibit E is located near the end of the document.)

Our effort on this engagement was limited to the specific agreed-to procedure identified in this letter. It did not include an audit or other verification of any cost data.

Sincerely,

\_\_\_\_\_  
CPA's signature



Excerpt from 15 C.F.R. Part 14

Subpart C--Post-Award Requirements

Financial and Program Management

Sec. 14.20 Purpose of financial and program management.

Sections 14.21 through 14.28 prescribe standards for financial management systems, methods for making payments and rules for: satisfying cost sharing and matching requirements, accounting for program income, budget revision approvals, conducting audits, determining allowability of cost, and establishing fund availability.

Sec. 14.21 Standards for financial management systems.

(a) The Grants Officer shall require recipients to relate financial data to performance data and develop unit cost information whenever practical.

(b) Recipients' financial management systems shall provide for the following:

(1) Accurate, current and complete disclosure of the financial results of each federally-sponsored project or program in accordance with the reporting requirements set forth in Sec. 14.52. If the Grants Officer requires reporting on an accrual basis from a recipient that maintains its records on other than an accrual basis, the recipient shall not be required to establish an accrual accounting system. These recipients may develop such accrual data for its reports on the basis of an analysis of the documentation on hand.

(2) Records that identify adequately the source and application of funds for federally-sponsored activities. These records shall contain information pertaining to Federal awards, authorizations, obligations, unobligated balances, assets, outlays, income and interest.

(3) Effective control over and accountability for all funds, property and other assets. Recipients shall adequately safeguard all such assets and assure they are used solely for authorized purposes.

(4) Comparison of outlays with budget amounts for each award. Whenever appropriate, financial information should be related to performance and unit cost data.

(5) Written procedures to minimize the time elapsing between the transfer of funds to the recipient from the U.S. Treasury and the issuance or redemption of checks, warrants or payments by other means for program purposes by the recipient. To the extent that the provisions of the Cash Management Improvement Act (CMIA) (Pub. L. 101-453) govern, payment methods of State agencies, instrumentalities, and fiscal agents shall be consistent with CMIA Treasury-State Agreements or the CMIA default procedures codified at 31 CFR part 205, "Withdrawal of Cash from the Treasury for Advances under Federal Grant and Other Programs."

(6) Written procedures for determining the reasonableness, allocability and allowability of costs in accordance with the provisions of the applicable Federal cost principles and the terms and conditions of the award.

(7) Accounting records including cost accounting records that are supported by source documentation.

(c) Where the DoC guarantees or insures the repayment of money borrowed by the recipient, the Grants Officer may require adequate bonding and insurance if the bonding and insurance requirements of the recipient is not deemed adequate to protect the interest of the Federal Government.

(d) The Grants Officer may require adequate fidelity bond coverage where the recipient lacks sufficient coverage to protect the Federal Government's interest.

(e) Where bonds are required in the situations described above, the bonds shall be obtained from companies holding certificates of authority as acceptable sureties, as prescribed in 31 CFR part 223, "Surety Companies Doing Business with the United States."

May 2, 2014

**National Strategy for Trusted Identities in Cyberspace  
Cooperative Agreement for the Identity Ecosystem Steering Group**

The National Program Office (NPO) of the National Strategy for Trusted Identities in Cyberspace hosted at the National Institute of Standards and Technology (NIST) in the U.S. Department of Commerce announces planned funding of a program for support of the Identity Ecosystem Steering Group before the end of Fiscal Year 2014. This statement informs the public of the reasons for the program and describes the funding process and anticipated recipient.

NIST supports this program under the authority of 15 U.S.C. §272(b)(1),(b)(4),(c)(12),(c)(14) and under the Catalog of Federal Domestic Assistance (CFDA) Number 11.619, Arrangements for Interdisciplinary Research Infrastructure.

**I. Objective: Support Development of the Identity Ecosystem Framework and Promotion of the Identity Ecosystem**

**Program Description and Background**

In April 2011, President Obama signed the National Strategy for Trusted Identities in Cyberspace (NSTIC or Strategy), which charts a course for the public and private sectors to collaborate to raise the level of trust associated with the identities of individuals, organizations, networks, services, and devices involved in online transactions. The Strategy can be found at:

[http://www.whitehouse.gov/sites/default/files/rss\\_viewer/NSTICstrategy\\_041511.pdf](http://www.whitehouse.gov/sites/default/files/rss_viewer/NSTICstrategy_041511.pdf).

The Strategy's vision is: Individuals and organizations utilize secure, efficient, easy-to-use, and interoperable identity solutions to access online services in a manner that promotes confidence, privacy, choice, and innovation.

NSTIC acknowledges and addresses three major challenges in cyberspace:

1. A lack of confidence and assurance that people, organizations, and businesses are who they say they are online and that devices are trusted and authentic. Both businesses and governments are unable to offer many services online because they cannot effectively identify the individuals with whom they interact.
2. The current online environment presents a de facto requirement that individuals maintain dozens of different usernames and passwords, typically one for each website with which they interact. The complexity of this approach is a burden to individuals and it encourages behavior – like the reuse of passwords – that makes online fraud and identity theft easier. At the same time, online businesses face ever-increasing costs for securely managing customer accounts, consequences of online fraud, and the loss of business that results from individuals' unwillingness to create yet another account. Spoofed Web sites, stolen passwords, and compromised accounts are all symptoms of inadequate authentication mechanisms.
3. There is a growing list of online privacy challenges, ranging from minor nuisances and unfair surprises to injury or discrimination based on sensitive personal attributes that are improperly disclosed, actions and decisions in response to misleading or inaccurate information, and costly and potentially life-disrupting identity theft. In the aggregate, even the harms at the less severe end of this spectrum have significant adverse effects, because they continue to undermine consumer trust in the Internet environment. Diminished trust causes consumers to hesitate before adopting new services and impedes innovative and productive uses of new technologies.

NSTIC envisions addressing these challenges through a user-centric Identity Ecosystem, defined in the Strategy as "an online environment where individuals and organizations will be able to trust each other

because they follow agreed upon standards to obtain and authenticate their digital identities—and the digital identities of devices.”<sup>1</sup>

The NSTIC specifies four guiding principles to which the Identity Ecosystem must adhere:

1. Identity solutions will be privacy-enhancing and voluntary;
2. Identity solutions will be secure and resilient;
3. Identity solutions will be interoperable; and
4. Identity solutions will be cost-effective and easy to use.

The Strategy will only be a success – and the ideal of the Identity Ecosystem will only be achieved – if identity solutions fulfill all of these guiding principles. Achieving them separately will not only lead to an inadequate solution but could serve as a hindrance to the broader evolution of cyberspace.

The Identity Ecosystem is designed to securely support transactions that range from anonymous to fully-authenticated and from low- to high-value. The Identity Ecosystem, as envisioned by NSTIC, will increase:

- **Privacy protections** for individuals, who will be able to trust that their personal data is handled fairly and transparently;
- **Convenience** for individuals, who may choose to manage fewer passwords or accounts than they do today;
- **Efficiency** for organizations, which will benefit from a reduction in paper-based and account management processes;
- **Ease-of-use**, by automating identity solutions whenever possible and basing them on technology that is simple to operate;
- **Security**, by making it more difficult for criminals to compromise online transactions;
- **Confidence** that digital identities are adequately protected, thereby promoting the use of online services;
- **Innovation**, by lowering the risk associated with sensitive services and by enabling service providers to develop or expand their online presence; and
- **Choice**, as service providers offer individuals different—yet interoperable—identity credentials and media.

NIST has established the NPO to lead the implementation of NSTIC, with a focus on promoting private sector involvement and engagement; supporting interagency collaboration and coordinating interagency efforts associated with achieving programmatic goals; building consensus on policy frameworks necessary to achieve the vision; identifying areas for the government to lead by example in developing and supporting the Identity Ecosystem, particularly in the Executive Branch’s role as a provider and validator of key credentials; actively participating within and across relevant public- and private-sector fora; and assessing progress against the goals, objectives, and milestones of NSTIC.

In implementing the Strategy, the NSTIC NPO seeks to build upon the existing marketplace, encourage new solutions, and establish a baseline of privacy, security, interoperability, and easy to use trusted digital identity credentials that will improve the trust of online transactions while enabling the market to flourish. More information about the NSTIC NPO is available at <http://www.nist.gov/nstic/>.

While the Federal government initiated NSTIC, one of its key tenets is that the private sector should build and operate the Identity Ecosystem. NSTIC thus called for the creation of a privately-led Identity Ecosystem Steering Group (IDESG) which would convene the wide array of stakeholders who will be

---

<sup>1</sup> National Strategy for Trusted Identities in Cyberspace at [http://www.whitehouse.gov/sites/default/files/rss\\_viewer/NSTICstrategy\\_041511.pdf](http://www.whitehouse.gov/sites/default/files/rss_viewer/NSTICstrategy_041511.pdf), p. 2

impacted by the Identity Ecosystem and, through a voluntary, multi-stakeholder collaborative process, administer the development of policies, standards, and accreditation processes for an Identity Ecosystem Framework.

In 2012, NIST awarded a cooperative agreement to Trusted Federal Systems (TFS) to convene the IDESG, provide it with ongoing secretarial, administrative, and logistical support (jointly known as “secretariat” services), and provide assistance for the IDESG to transition to a self-sustaining organization.

TFS convened the initial IDESG meeting in August, 2012, and since that time, the IDESG has held eight plenaries and made substantial progress toward creation of an Identity Ecosystem Framework. IDESG activities are announced to the public and any interested party has been invited to participate. The IDESG’s “Priority Action Dashboard” currently tracks more than forty different activities underway by Steering Group members, with target completion dates for each.

The IDESG incorporates sixteen defined stakeholder groups in a transparent, inclusive, consensus-based organization to identify and address stakeholder needs and requirements across the entire Identity Ecosystem. The IDESG consists of a broad structure of working committees comprised of these stakeholders to contribute to the goal of building an Identity Ecosystem Framework that can best meet all stakeholder needs. The diverse work streams across these committees include the development of applicable use cases and functional models, a common taxonomy, security and privacy evaluation methodologies, standards adoption, trust framework requirements mapping, policy initiatives and incentives, and international coordination.

In October 2013, IDESG members voted to formally incorporate as a 501(c)(3) non-profit corporation – an important step to transitioning the IDESG from a government-funded organization to one whose operations are funded largely by the private sector.

While the IDESG has incorporated – and plans to start supporting its activities via membership fees and other income – it is clear that so long as the bulk of its activities are supported primarily via volunteer efforts, the pace of its progress will be limited relative to what can be accomplished if dedicated resources are not made available to support its work. Therefore, consistent with the Department of Commerce Grants Manual, dated 03/31/2013, Chapter 8.F, NIST is pursuing a noncompetitive award with IDESG, Inc.<sup>2</sup> Given that the Identity Ecosystem Framework is a national priority, NIST has determined that its development and its ability to become self-sustaining, can be accelerated through continued financial assistance over the next two to three years. As recognized in the NSTIC, successful establishment of the Identity Ecosystem Framework by the IDESG is critical to the ongoing successful development of online commerce, public safety online, government efficiency, and effective and efficient communication among and between individuals, the private sector, and the public sector. For these reasons there is an urgent and compelling need for NIST to support continued work of the IDESG.

A key NIST objective is to ensure the existence of a robust function that coordinates development and acceleration of Identity Ecosystem Framework of policy, standards and accreditation processes necessary to support the Identity Ecosystem in the years to come. Accordingly, NIST will be funding activities to further mature the IDESG and provide services to accelerate the pace of its objectives.

This cooperative agreement will be awarded to specifically focus on building the public-private partnership of the IDESG and accelerating work on the Identity Ecosystem Framework. To that end, the scope of work under this cooperative agreement will focus on strengthening the base secretariat function and augmenting it with technical experts supporting the various ongoing IDESG committee work streams. The government expects the IDESG to begin collecting outside funds during 2014 with membership fees and other income covering the bulk of the base Secretariat functions in 2015. As outside funds begin to cover these functions, it should free up resources to support additional core IDESG program activities.

---

<sup>2</sup> From this point forward in this document, IDESG and IDESG, Inc., are used synonymously.

This effort will be focused on supporting the IDESG and its working committees to advance and accelerate the development of the Identity Ecosystem Framework and the implementation of that framework. Specifically, the award recipient will work cooperatively with the IDESG and NIST to:

- 1) Establish and maintain a Framework Management Office (FMO) that coordinates Identity Ecosystem Framework development activities across all IDESG committees and coordinates and integrates the work streams and objectives for consistency and appropriateness. Such objectives should include major work items contained in the IDESG Priority Action Dashboard found at <http://www.idecosystem.org/sites/all/files/dashboard.htm>.
- 2) Provide technical resources (e.g., subject matter experts), under the direction of the FMO, to support the major work streams of the IDESG committees to advance objectives for the Identity Ecosystem Framework that support NSTIC and its guiding principles.
- 3) Provide and maintain infrastructure that supports transparency, openness, and alignment with the NSTIC guiding principles in all Steering Group operations – and balances these requirements with the need to advance objectives. This includes administrative and logistical support, including support for virtual participation as necessary, in the preparation and conduct of plenary and committee meetings and communications.
- 4) Establish and maintain an IDESG outreach program to proactively inform and educate stakeholders about the Identity Ecosystem – with a goal of ensuring wider participation, representation, and input into the Identity Ecosystem Framework from all stakeholder groups, especially those which are underrepresented in the IDESG.
- 5) Assist the IDESG in transitioning to a fully self-sustaining organization – including an examination of the current Rules of Association and rationalization of these rules in light of a) the IDESG's new incorporated status and 2) the need to expedite IDESG objectives, and the general efficiency of the organization, in support of NSTIC as a national priority.

Additionally, the recipient, through its work with the IDESG, should interface and collaborate with the NSTIC NPO and broader NIST programs focused on identity. Project participants (the project lead, contractors, subrecipients and other collaborators) must possess the education, experience, and training to pursue the project.

## **II. Award Information**

1. **Funding Instrument.** The funding instrument that will be used is a cooperative agreement. The nature of NIST's "substantial involvement" will generally be collaboration between NIST and the recipient organization. This includes NIST collaboration with a recipient on the scope of work. In addition to the five (5) items listed above, other forms of substantial involvement that may arise are described in Chapter 5.C of the Department of Commerce (DoC) Grants and Cooperative Agreements Manual, which is available at [http://www.osc.doc.gov/oam/grants\\_management/policy/documents/FINAL%20Master%20DOC%20Grants%20Manual%202013%20\(03.01.13\)\\_b.pdf](http://www.osc.doc.gov/oam/grants_management/policy/documents/FINAL%20Master%20DOC%20Grants%20Manual%202013%20(03.01.13)_b.pdf)
2. **Multi-Year Funding Policy.** When an application for a multi-year award is approved, funding will usually be provided for only the first year of the project. If a project is selected for funding, NIST has no obligation to provide any additional funding in connection with that award. Continuation of an award to increase funding or extend the period of performance is at the sole discretion of NIST. Continued funding will be contingent upon satisfactory performance, continued relevance to the mission and priorities of NSTIC, and the availability of funds.
3. **Funding Availability.** NIST plans to make one award for approximately \$1,100,000 to \$1,400,000 per year for up to three (3) years, consistent with the multi-year funding policy described above. Proposed funding levels must be consistent with project scope. FY 2015 and FY 2016 appropriations for the NSTIC NPO have not been determined at the time of publication, but the anticipated maximum award amount is approximately \$4.2 million.

4. **Cost Sharing Requirements:** This award will not require cost sharing.

### **III. Application Submission Information**

#### **1. Application Content and Format**

##### **a. Required Application Forms and Documents**

The application from IDESG must contain the following:

- (1) **SF-424, Application for Federal Assistance.** The SF-424 must be signed by an authorized representative of the applicant organization.
- (2) **SF-424A, Budget Information - Non-Construction Programs.** The budget should reflect anticipated expenses for each year of the project of no more than three (3) years, considering all potential cost increases, including cost of living adjustments.

**Funding Restrictions:** Profit or fee is not an allowable cost.

- (3) **SF-424B, Assurances - Non-Construction Programs**

- (4) **CD-511, Certification Regarding Lobbying**

- (5) **SF-LLL, Disclosure of Lobbying Activities** (if applicable)

- (6) **Technical Proposal.** The technical proposal is a word-processed document responsive to the objectives above and the evaluation criteria below. The applicant should include in their proposal a clear statement of the measurable performance objectives and how those objectives will further the development and adoption of the Identity Ecosystem Framework that can be used to determine the potential success of the proposed project. The technical proposal should contain the following information:

- (a) **Executive Summary.** An executive summary of the proposed approach including the objectives of the project and how those objectives facilitate the work of the IDESG in developing and adopting policy, standards, and accreditation processes for the Identity Ecosystem Framework. The executive summary should include information indicating how each evaluation criteria and its sub-factors are addressed. A table may be helpful in providing this information.
- (b) **Statement of Work and Implementation Plan.** A statement of work that discusses the specific proposed tasks, including a schedule of measurable events and milestones as well as clear, measurable performance objectives that can be used to determine the success of the project. The schedule of tasks and events can be presented as a Gantt chart, Work Breakdown Structure, or other formats. In addition, this section should include a Strategic Plan for 2014-15 agreed to by the IDESG Board of Directors. This section should address the *Technical Action Plan* and *Project Management Plan* evaluation criteria.
- (c) **Organizational Maturity Plan.** A description of the activities the recipient will take to improve the efficiency and governance structure of the IDESG. This section should discuss plans to examine and rationalize the current Rules of Association in light of a) the IDESG's new incorporated status and 2) the need to expedite IDESG objectives (and the general efficiency of the organization) in support of NSTIC as a national priority. This may include items such as a simplification of the current rules, as well as a "code of ethics" that governs member participation. This section should also contain a self-sustainment plan that details how IDESG, Inc., plans to gradually replace public funds as

its primary source of revenue with other funding sources. This section should address the *Technical Action Plan* and *Project Management Plan* evaluation criteria.

- (d) **Stakeholder Engagement Work Plan.** This section should include a description of the proposed stakeholder engagement, outreach and education activities, sufficient to permit evaluation in accordance with the *Stakeholder Engagement Strategy* evaluation criterion.
  - (e) **Qualifications and Resource Availability.** A description of the overall support available to accomplish project objectives. This includes the qualifications and proposed roles of the project participants, including the proposed role of the project lead and of each subwardee, contractor, or other collaborator in the project. In addition, this section should include a description of the qualifications, including skills and experience and role of all key personnel on the project. This section and the budget narrative should address the *Proposed Staffing and Resources* evaluation criterion.
- (7) **Budget Narrative.** The Budget Narrative should provide a detailed breakdown of each of the object class categories as reflected on the SF-424A. The budget justification should address all of the budget categories in which funds are allocated (e.g., personnel, fringe benefits, travel, equipment, supplies, contractual, other direct costs, indirect costs). The written justification should include the necessity and the basis for the cost. Only allowable costs should be included in the budget. Information on cost allowability is available in the Supplemental Information, section B.1 of the DoC Pre-Award Notification Requirements for Grants and Cooperative Agreements, which are contained in the Federal Register notice of December 17, 2012 (77 FR 74634), and are available at <https://www.federalregister.gov/articles/2012/12/17/2012-30228/department-of-commerce-pre-award-notification-requirements-for-grants-and-cooperative-agreements>.

Information needed for each category is as follows:

- (a) **Personnel** - At a minimum, the budget justification for all personnel should include the following: name, job title, commitment of effort on the proposed project in terms of average number of hours per week or percentage of time, salary rate, total direct charges on the proposed project, description of the role of the individual on the proposed project and the work to be performed. Please note that contracted personnel (e.g., contractors and/or consultants) should be listed under the Contracts/Subawards budget category.

**Fringe Benefits** - Fringe benefits should be identified separately from salaries and wages and based on rates determined by organizational policy. The items included in the fringe benefit rate (e.g., health insurance, parking) should not be charged under another cost category.

- (b) **Travel** - NIST will require that the award recipient attend all IDESG (<http://www.idecosystem.org/>) meetings in person. Therefore, the recipient should include travel costs to these meetings in their budget narrative. For travel costs associated with travel to these meetings, and additional travel required by the recipient to complete the project, the budget justification for travel should include the following: destination; names/number of people traveling; dates and/or duration; mode of transportation, lodging and subsistence rates; and description of how the travel is directly related to the proposed project. For travel that is yet to be determined, please provide best estimates based on prior experience. If a destination is not known, an approximate amount may be used with the assumptions given for the location of the meeting.

- (c) **Equipment** - Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more (unless the organization has established lower levels) and an expected service life of more than one year. Any items that do not meet the threshold for equipment can be included under the supplies line item. The budget justification should list each piece of equipment, the cost, and a description of how it will be used and why it



is necessary to the successful completion of the proposed project. Please note that any general use equipment (computers, etc.) that is charged directly to the award, should be allocated to the award according to expected usage on the project.

- (d) **Supplies** - Provide a list of each supply, and the breakdown of the total costs by quantity or unit of cost. Include the necessity of the cost for the completion of the proposed project.
  - (e) **Contracts/Subawards** - Each contract or subaward should be treated as a separate item. Describe the services provided and the necessity of the subaward or contract to the successful performance of the proposed project. Contracts are for obtaining normal goods and services. Subrecipients perform part of the project scope of work. For each subaward, applicants must provide budget detail justifying the cost of the work performed on the project.
  - (f) **Other Direct Costs** - For costs that do not easily fit into the other cost categories, please list the cost, and the breakdown of the total costs by quantity or unit of cost. Include the necessity of the cost for the completion of the proposed project. Only allowable costs can be charged to the award.
- (8) **Indirect Cost Rate Agreement.** If indirect costs are included in the proposed budget, provide a copy of the approved negotiated agreement if this rate was negotiated with a cognizant Federal agency. If the rate was not established by a cognizant Federal agency, provide a statement to this effect. The recipient will be required to obtain such a rate.
- (9) **Letters of Commitment to participate**, as applicable. If the application identifies third parties including contractors, subrecipients, and/or other collaborators who will participate in the proposed project, effectively forming a team or consortium, then the recipient must submit a letter from each currently known participant describing its participation. Each letter should indicate the organization's willingness to participate and what they will be doing for the project. A letter is required whether or not the organization is receiving Federal funds.

#### **IV. Application Review Information**

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

- a. **Technical Action Plan (0 - 50 points).** The extent to which the application clearly addresses the program goals articulated in the solicitation and demonstrates how the applicant will efficiently and effectively:
  - 1) (0 - 10 points) Establish and maintain a Framework Management Office that coordinates Identity Ecosystem Framework development activities across all IDESG committees and coordinates and integrates the work streams and objectives for consistency and appropriateness.
  - 2) (0 - 20 points) Provide technical resources (e.g., subject matter experts), under the direction of the FMO, to support the major work streams of the IDESG committees to advance objectives for the Identity Ecosystem Framework that support NSTIC and its guiding principles.
  - 3) (0 - 10 points) Provide and maintain infrastructure that supports transparency, openness, and alignment with the NSTIC guiding principles in all IDESG operations – and balances these requirements with the need to advance objectives. This includes administrative and logistical support, including support for virtual participation as necessary, in the preparation and conduct of plenary and committee meetings and communications.
  - 4) (0 - 10 points) Transition the IDESG to a fully self-sustaining organization with a mature set of rules and governance structure, as well as a strategic plan for 2014-15.

- b. Stakeholder Engagement Strategy (0 - 20 points).** The extent to which the application demonstrates the applicant's understanding of the Identity Ecosystem stakeholder community and how it will utilize that understanding to proactively reach out to stakeholder groups, especially underrepresented stakeholder groups and engage stakeholders in the development of the Identity Ecosystem Framework, as well as promote the adoption of the Identity Ecosystem and best practices in identity and authentication.
- c. Project Management Plan (0 - 15 points).** Quality of the applicant's plans for implementation including details on the following: tasks, schedule, quantified objectives, milestones, metrics, method of evaluating the metrics, risks, and plans for stakeholder outreach and integration with other efforts.

The reviewers will consider the detailed work plan; clear and measurable performance objectives; key interim and final outputs reflecting the performance objectives; milestones, key objectives, and timelines provided; and the likelihood that the approach would be successful in achieving the objectives and addressing challenges that may arise in the course of the project.

- d. Proposed Staffing and Resources (0 - 15 points).** The qualifications and commitment of the identified project participants demonstrate that appropriate staff and resources have been allocated to achieve results. Qualifications and commitment of SMEs to support the IDESG committees advance the work streams and objectives must be supplied in the application. Applicants should provide details about the extent to which the applicant has access to the necessary facilities, technical experts and overall support to accomplish the project objectives; level of proposed staff effort during the award and the willingness of proposed staff to commit to the project for the duration of the initial award period (key personnel who are not current employees should provide letters of commitment); and the timeline needed for the applicant to get started on the work to meet the efforts described in the objectives above.

Professional experience may include both demonstrated technical capabilities, as well as work bringing together diverse stakeholders and qualifications in stakeholder outreach and coordination and experience with facilitation of many dynamic stakeholders over a multitude of critical issues, and in substantive differences of approach and perspective.

In addition, reviewers will evaluate the appropriateness of proposed resources including personnel compared to the project's scope, as well as the cost-effectiveness of the project in using available resources to complete the project.

## **2) Selection/Recommendation for funding.**

The NSTIC NPO shall conduct a merit review of the application materials submitted by IDESG, Inc., consistent with the Department of Commerce Grants Manual, Chapters 8.B.4.b, Merit Review for Noncompetitive awards; Chapter 7.C, Noncompetitive Applications; and Chapter 8.F, Review Process for Applications for Noncompetitive Awards Made with Discretionary funds. The Program Office may negotiate the scope of work, budget, and award terms with IDESG, Inc., consistent with the NSTIC authority and mission.

If the application is determined to be meritorious and appropriate for funding, the Program Office shall make a recommendation for funding to the Grants Officer. The Grants Officer will conduct the final review of the proposed award. NIST may request that the applicant modify objectives or work plans and provide supplemental information required by the agency prior to award. NIST also reserves the right to reject the application where information is uncovered that raises a reasonable doubt as to the responsibility of the applicant. The NIST Grants Officer shall be the Department of Commerce Official who makes the final determination regarding the whether to fund the award. .

## **V. Award Administration Information**

1. **Award Notices.** The successful applicant will receive an award from the NIST Grants Officer. The award cover page, i.e., CD-450, Financial Assistance Award is available at [http://ocio.os.doc.gov/s/groups/public/@doc/@os/@ocio/@oitpp/documents/content/dev01\\_002513.pdf](http://ocio.os.doc.gov/s/groups/public/@doc/@os/@ocio/@oitpp/documents/content/dev01_002513.pdf) and the DoC Financial Assistance Standard Terms and Conditions (January 2013) are available at [http://www.osc.doc.gov/oam/grants\\_management/policy/documents/DOC\\_Standard\\_Terms\\_and\\_Conditions\\_01\\_10\\_2013.pdf](http://www.osc.doc.gov/oam/grants_management/policy/documents/DOC_Standard_Terms_and_Conditions_01_10_2013.pdf).

## 2. Administrative and National Policy Requirements

- a. **DoC Pre-Award Notification Requirements.** The DoC Pre-Award Notification Requirements for Grants and Cooperative Agreements, 77 FR 74634 (December 17, 2012), are applicable to this FFO and are available at <https://www.federalregister.gov/articles/2012/12/17/2012-30228/departments-of-commerce-pre-award-notification-requirements-for-grants-and-cooperative-agreements>.
- b. **Employer/Taxpayer Identification Number (EIN/TIN), Dun and Bradstreet Data Universal Numbering System (DUNS), and System for Award Management (SAM).** All applicants for Federal financial assistance are required to obtain a universal identifier in the form of a DUNS number and maintain a current registration in the Federal government's primary registrant database, SAM. On the form SF-424 items 8.b. and 8.c., the applicant's 9-digit EIN/TIN and 9-digit DUNS number must be consistent with the information in SAM (<https://www.sam.gov/>) and the Automated Standard Application for Payment System (ASAP), if the applicant has received prior Federal awards and has received award funding through ASAP. For complex organizations with multiple EIN/TIN and DUNS numbers, the EIN/TIN and DUNS numbers MUST be the numbers for the applying organization. Organizations that provide incorrect/inconsistent EIN/TIN and DUNS numbers may experience significant delays in receiving funds if their application is selected for funding. Confirm that the EIN/TIN and DUNS number are consistent with the information in SAM and ASAP.

Per 2 C.F.R. Part 25, each applicant must:

- (1) Be registered in the CCR before submitting an application noting that the CCR now resides in SAM;
- (2) Maintain an active CCR registration, noting that the CCR now resides in SAM, with current information at all times during which it has an active Federal award or an application under consideration by an agency; and
- (3) Provide its DUNS number in each application it submits to the agency.

The applicant can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day. The CCR or SAM registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration annually. This may take three or more business days to complete. Information about SAM is available at [SAM.gov](http://SAM.gov). See also 2 C.F.R. Part 25 and the *Federal Register* notice published on September 14, 2010, at 75 FR 55671.

- c. **DoC Representation by Corporations Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law.** In accordance with the Federal appropriations law expected to be in effect at the time of project funding, NIST anticipates that the selected applicant will be provided a form and asked to make a representation regarding any unpaid delinquent tax liability or felony conviction under any Federal law.
- d. **Intergovernmental Review.** The application for this award is not subject to Executive Order 12372.

### 3. Reporting

- a. **Reporting Requirements.** In lieu of the reporting requirements described in Sections A.01 Financial Reports and B.01 Performance (Technical) Reports of the DoC Financial Assistance Standard Terms and Conditions dated January 2013 ([http://www.osec.doc.gov/oam/grants\\_management/policy/documents/DOC\\_Standard\\_Terms\\_and\\_Conditions\\_01\\_10\\_2013.pdf](http://www.osec.doc.gov/oam/grants_management/policy/documents/DOC_Standard_Terms_and_Conditions_01_10_2013.pdf)), the following reporting requirements shall apply:
- (1) **Financial Reports.** The award recipient will be required to submit an SF-425, Federal Financial Report on a quarterly basis for the periods ending March 31, June 30, September 30, and December 31 of each year. Reports will be due within 30 days after the end of the reporting period. A final financial report is due within 90 days after the end of the project period.
  - (2) **Performance Reports.** The award recipient will be required to submit a technical progress report on a quarterly basis for the periods ending March 31, June 30, September 30, and December 31 of each year. Reports will be due within 30 days after the end of the reporting period. A final technical progress report shall be submitted within 90 days after the expiration date of the award. Technical progress reports shall contain information as prescribed in 15 C.F.R. § 14.51.
  - (3) **Patent and Property Reports.** From time to time, and in accordance with the Uniform Administrative Requirements, 15 C.F.R. Part 14 or 24, as applicable, the Department of Commerce Financial Assistance Standard Terms and Conditions dated January 9, 2013, and other terms and conditions governing the award, the recipient may need to submit property and patent reports.
- b. **OMB Circular A-133 Audit Requirements.** Single or program-specific audits shall be performed in accordance with the requirements contained in OMB Circular A-133, "*Audits of States, Local Governments, and Non-Profit Organizations*," and the related *Compliance Supplement*. OMB Circular A-133 requires any non-Federal entity (i.e., including non-profit institutions of higher education and other non-profit organizations) that expends Federal awards of \$500,000 or more in the recipient's fiscal year to conduct a single or program-specific audit in accordance with the requirements set out in the Circular. Applicants are reminded that NIST, the DoC Office of Inspector General or another authorized Federal agency may conduct an audit of an award at any time.
- c. **Federal Funding Accountability and Transparency Act of 2006.** In accordance with 2 C.F.R. Part 170, all recipients of a Federal award made on or after October 1, 2010, are required to comply with reporting requirements under the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282). In general, all recipients are responsible for reporting sub-awards of \$25,000 or more. In addition, recipients that meet certain criteria are responsible for reporting executive compensation. Applicants must ensure they have the necessary processes and systems in place to comply with the reporting requirements should they receive funding. Also see the *Federal Register* notice published September 14, 2010, at 75 FR 55663.

### VII. Agency Contact(s)

Questions should be directed to the following contact persons:

Subject Area	Point of Contact
Programmatic and technical questions	Dr. Barbara Cuthill Phone: 301-975-3273 E-mail: <a href="mailto:barbara.cuthill@nist.gov">barbara.cuthill@nist.gov</a>
Grant rules and regulations	Dean Iwasaki Phone: 301-975-8449 E-mail: <a href="mailto:dean.iwasaki@nist.gov">dean.iwasaki@nist.gov</a>

# BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

## SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. Leave Blank	Leave Blank	\$	\$	\$	\$	\$ 0.00
2. NSTIC IEF	11.619			4,450,000.00		4,450,000.00
3. Program Income					850,000.00	850,000.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 4,450,000.00	\$ 850,000.00	\$ 5,300,000.00

## SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
	(1)	(2)	(3)	(4)		
a. Personnel	\$ 160,000.00	\$ 165,600.00	\$ 171,396.00	\$	\$	\$ 496,996.00
b. Fringe Benefits	26,400.00	27,324.00	28,280.00			82,004.00
c. Travel	13,584.00	13,584.00	13,584.00			40,752.00
d. Equipment	3,000.00	0.00				3,000.00
e. Supplies	2,700.00	2,200.00	2,200.00			7,100.00
f. Contractual	1,485,610.00	1,448,528.00	1,560,610.00			4,494,748.00
g. Construction						0.00
h. Other	21,800.00	51,800.00	101,800.00			175,400.00
i. Total Direct Charges (sum of 6a-6h)	1,713,094.00	1,709,036.00	1,877,870.00		0.00	5,300,000.00
j. Indirect Charges						0.00
k. TOTALS (sum of 6i and 6j)	\$ 1,713,094.00	\$ 1,709,036.00	\$ 1,877,870.00	\$	\$ 0.00	\$ 5,300,000.00
7. Program Income	\$ 50,000.00	\$ 300,000.00	\$ 500,000.00	\$	\$	\$ 850,000.00

Authorized for Local Reproduction

# BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

## SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$ 0.00
2. NSTIC IEF	11,619			4,450,000.00		4,450,000.00
3. Program Income					850,000.00	850,000.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 4,450,000.00	\$ 850,000.00	\$ 5,300,000.00

## SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
	(1) Year 1	(2) Year 2	(3) Year 3	(4)		
a. Personnel	\$ 160,000.00	\$ 165,600.00	\$ 171,396.00	\$	\$	\$ 496,996.00
b. Fringe Benefits	26,400.00	27,324.00	28,280.00			82,004.00
c. Travel	13,584.00	13,584.00	13,584.00			40,752.00
d. Equipment	3,000.00					3,000.00
e. Supplies	2,700.00	2,200.00	2,200.00			7,100.00
f. Contractual	1,435,610.00	1,148,528.00	1,060,610.00			3,644,748.00
g. Construction						0.00
h. Other	21,800.00	51,800.00	101,800.00			175,400.00
i. Total Direct Charges (sum of 6a-6h)	1,663,094.00	1,409,036.00	1,377,870.00		0.00	4,450,000.00
j. Indirect Charges						0.00
k. TOTALS (sum of 6i and 6j)	\$ 1,663,094.00	\$ 1,409,036.00	\$ 1,377,870.00	\$	\$ 0.00	\$ 4,450,000.00
7. Program Income	\$	\$	\$	\$	\$	\$

Authorized for Local Reproduction