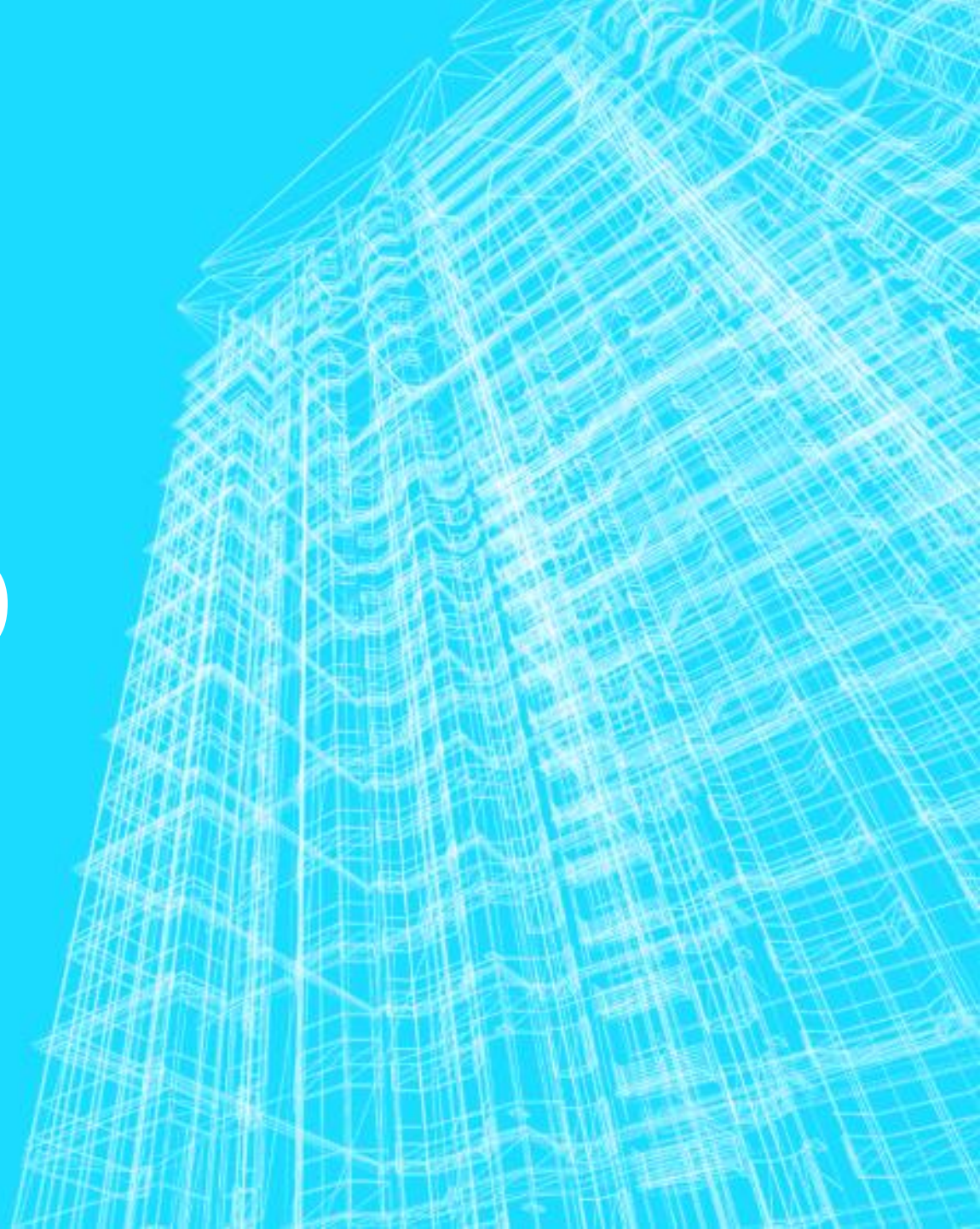
ASSESSMENT OF TRUSTED IDENTITIES IN CYBERSPACE STATE PILOT AWARDS

APPLICANTS WEBINAR

March 28, 2017

TRUSTED IDENTITIES GROUP OVERVIEW AND STATUS UPDATE

MIKE GARCIA
DIRECTOR



TRUSTED IDENTITIES GROUP AT NIST

Vision

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.

THE GOAL

Enhance online choice, efficiency, security, and privacy by fostering a marketplace of identity solutions

privacy enhancing & voluntary

secure & resilient

interoperable

cost effective & easy-to-use

THE MODEL: PART 1

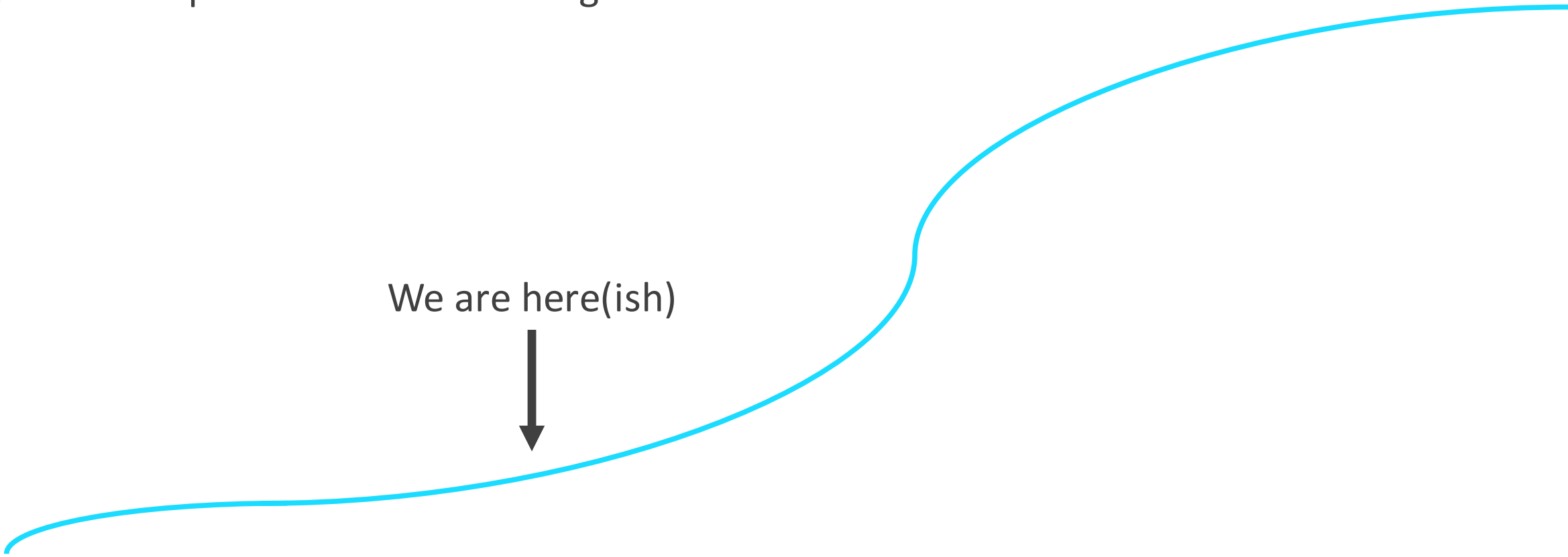
- 24 pilots impacting over 7.4 million individuals, >170 partners, 12 sectors, and 14 MFA solutions
- Identity Ecosystem Framework: privately-led, multi-sector, consensus-based approach to establishing baseline requirements for digital identity
- Open, collaborative development of projects and guidance

millions of individuals impacted by pilots

yubico
OhioDAS
Service · Support · Solutions
GSMA
confyrm
CRITERION systems
ID.me
AAMVA
PA pennsylvania
TSCP
TRANSGLOBAL SECURE COLLABORATION PROGRAM
gemalto
security to be free
SAFRAN
MorphoTrust USA
PRIVO
Privacy & Permission=TRUST
MDHHS
Michigan Department of Health & Human Services
Daon
INTERNET 2
hydrantid
resilient
network systems
Georgia Tech Research Institute
FLORIDA
DEPARTMENT OF REVENUE
CEDARS-SINAI
NIST

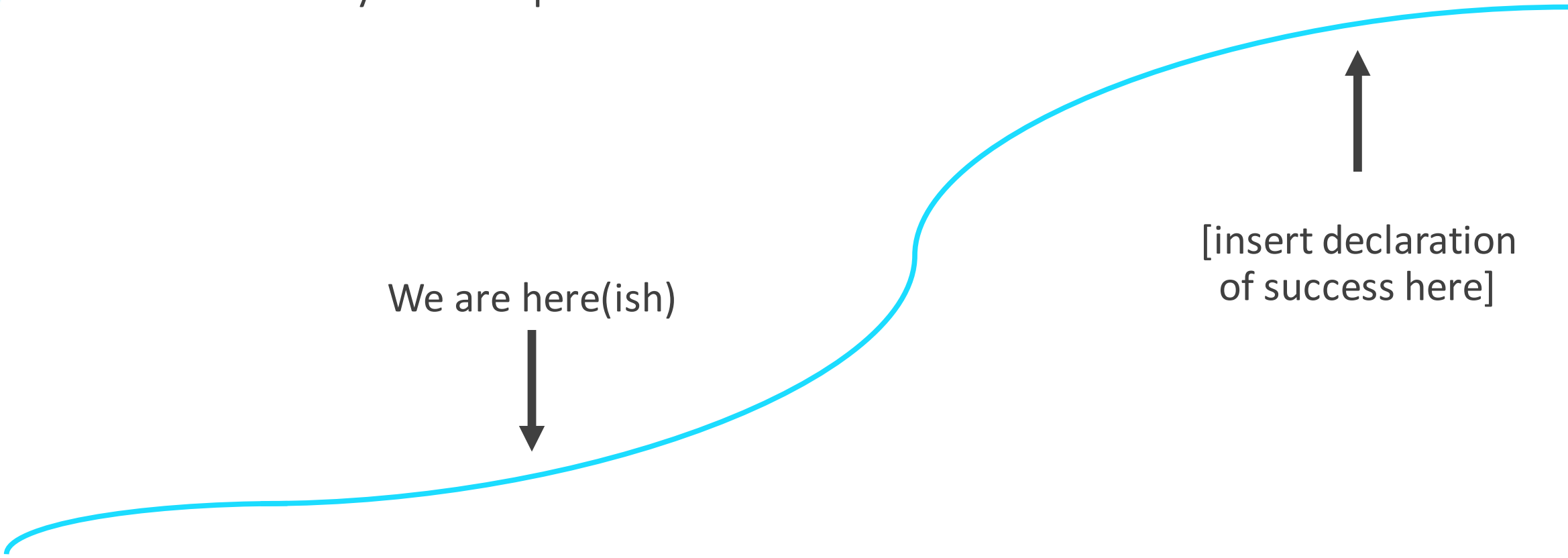
IT’S 2017.

Implementation shows signs of success.

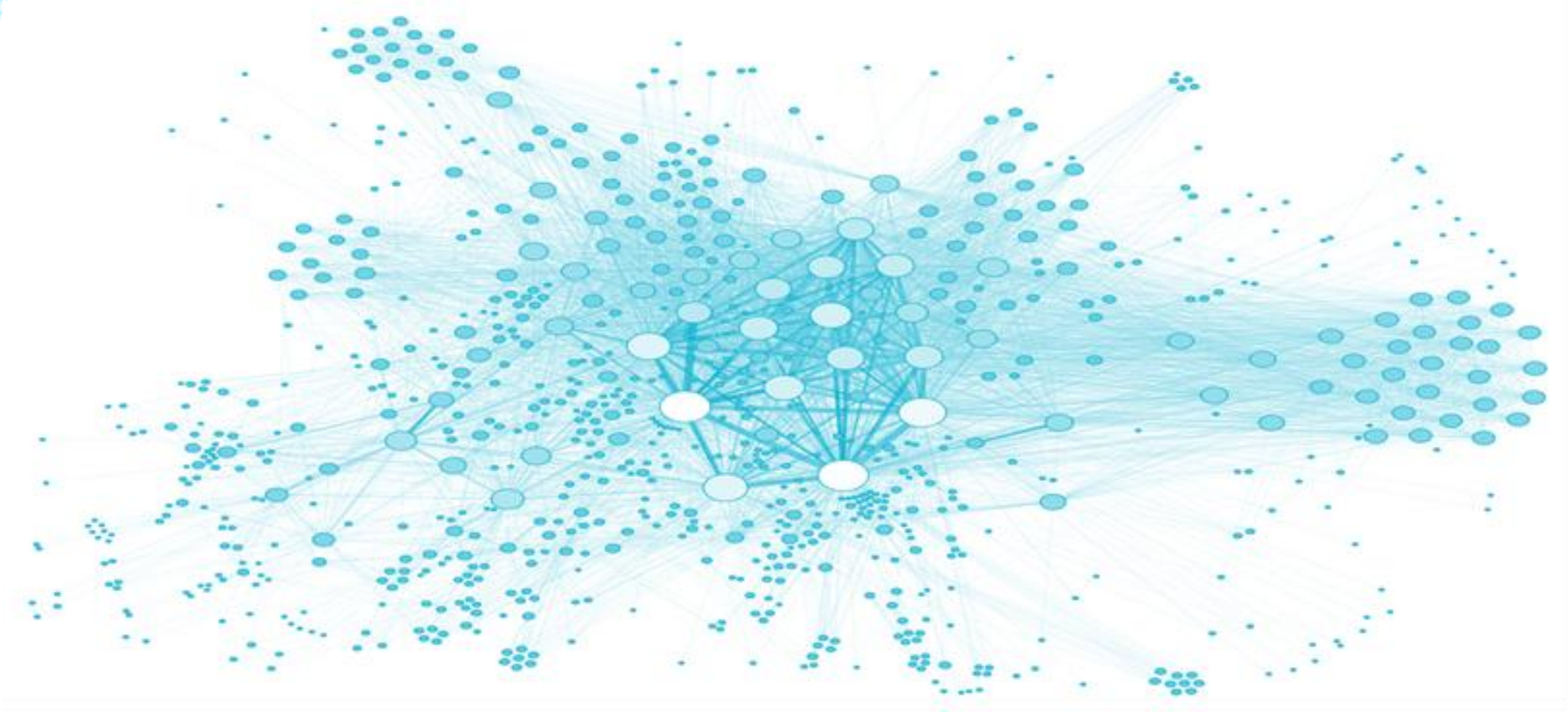


IT’S 2017.

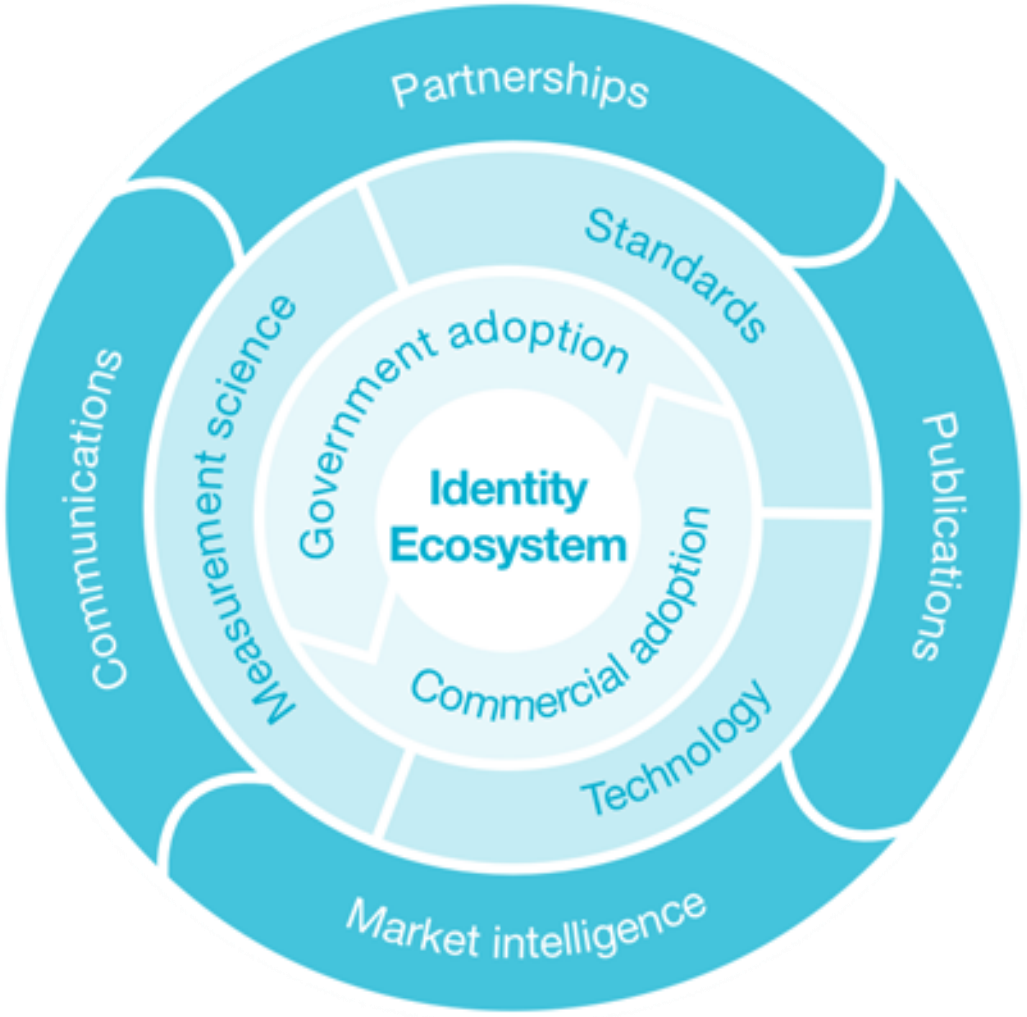
mission not yet accomplished.



WE MUST ACCELERATE ADOPTION



THE MODEL: PART 2



evolve and sustain
the Identity Ecosystem

SMARTER ENGAGEMENT TO SOLIDIFY THE MARKET

more technical deep dives
more high level, public awareness

communications

foster a more coherent community
establish global reach

partnerships

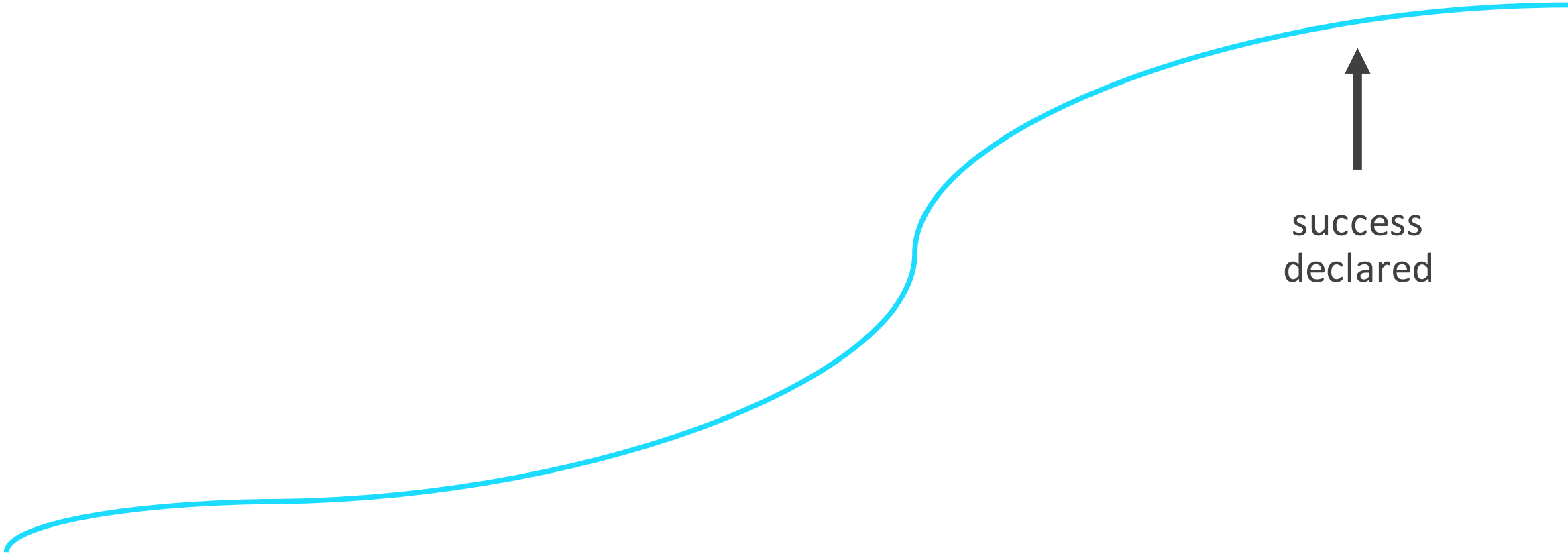
market intelligence

track and share market trajectory
strategically direct investment

publications

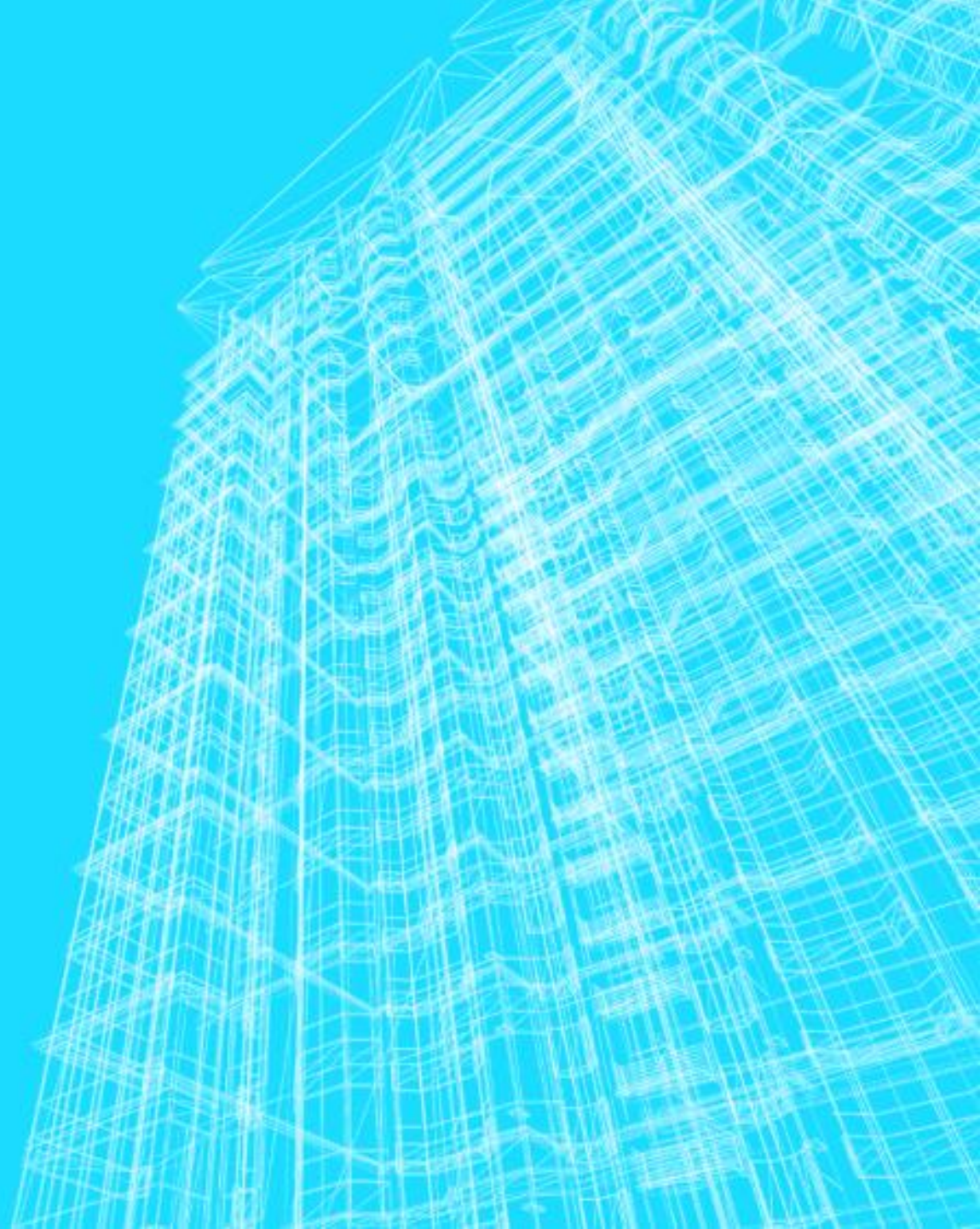
seek U.S., global, and industry alignment
Invest in what market won't support

IT’S 2021.



ASSESSMENT OF TRUSTED IDENTITIES IN CYBERSPACE STATE PILOT AWARDS

PURPOSE AND SCOPE



PURPOSE OF THE SOLICITATION

- Assess the benefits and impacts to the public of five projects awarded under the 2016 NSTIC State Pilots Cooperative Agreement Program (NOFO 2016-NIST-NSTIC-01) solicitation

- Disseminate information about the impacts and benefits of these solutions to policymakers, state agencies, and the public

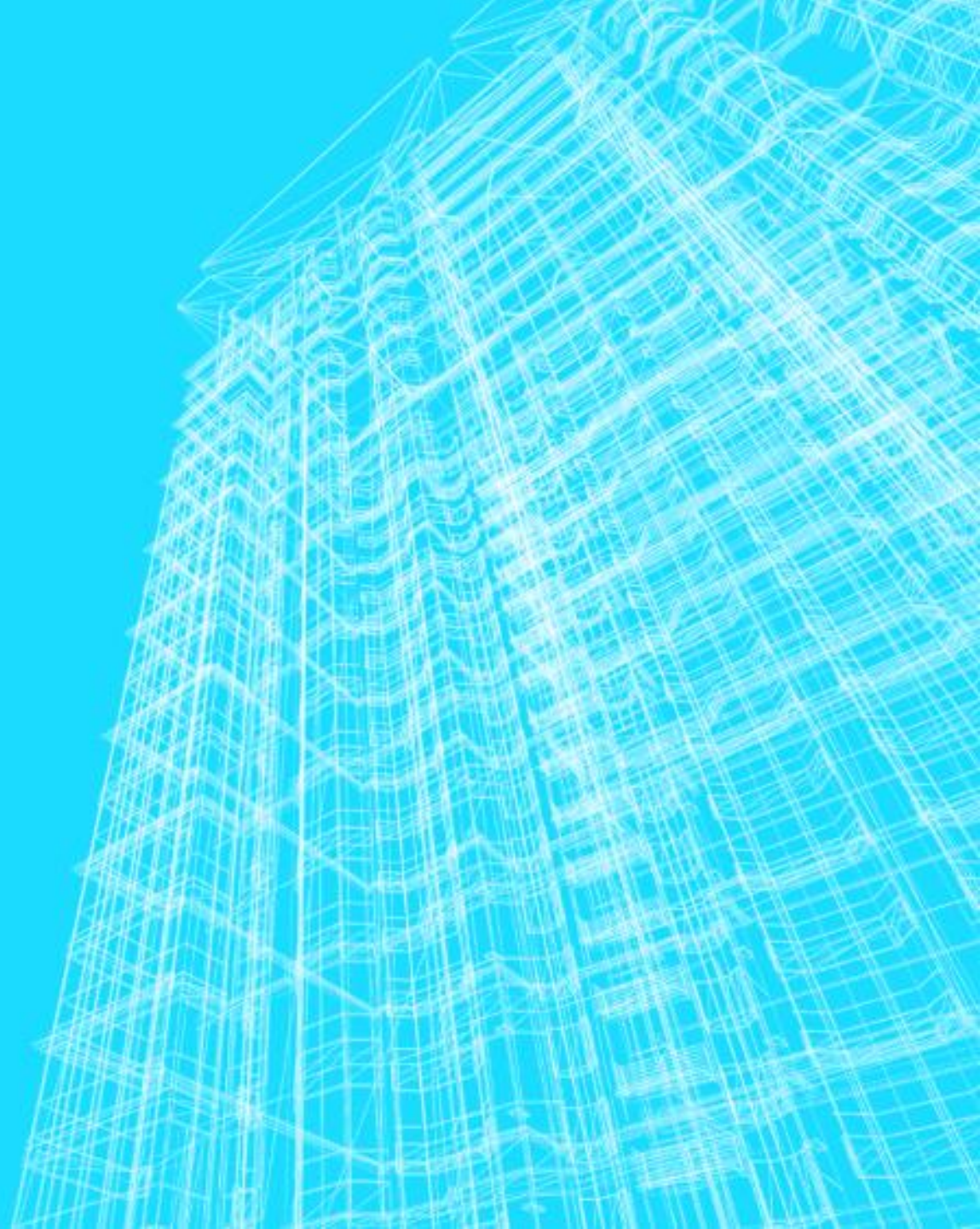
2016 NSTIC STATE PILOTS COOPERATIVE AGREEMENT PROGRAM

- 2016-NIST-NSTIC-01 projects are implementing digital identity solutions for accessing state and/or local government services.
- Solutions must support convenient customer access and program integrity across different services and agencies.
- Projects were required to:
  1. Enable online access to one or more state, local, or tribal government service(s).
  2. Provide for a federated, verified identity that enables multi-factor authentication and an effective identity proofing process meeting the risk needs of the service(s).
  3. Align with the Identity Ecosystem Framework Requirements .
  4. Allow for interoperability with other federations in use in the public and private sectors.
- Projects started on October 1, 2016.

RESULTS OF THE ASSESSMENT WILL…

- allow other state and local agencies to learn from these pilot efforts and increase the public benefit from the adoption of trusted identities.
- help catalyze the adoption of federated identity credentials for state and local government services.

ELIGIBILITY

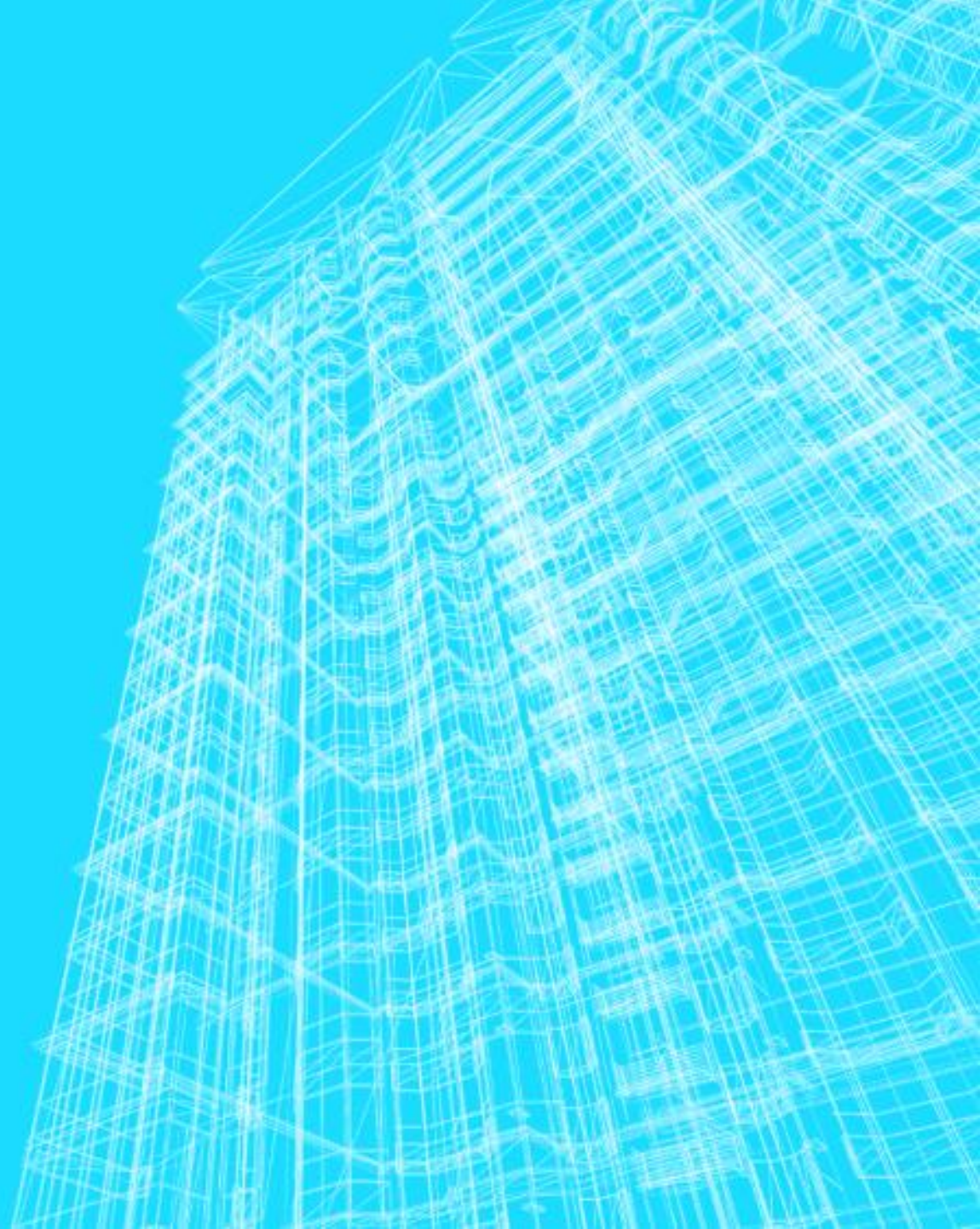


WHO IS AN ELIGIBLE APPLICANT?

- Applicants may be any U.S.-located non-Federal entity.
- However, an applicant will be deemed ineligible if it had any involvement in any of the 2016 NSTIC State Pilot projects.

APPLICATION CONTENTS AND EVALUATION CRITERIA

FULL APPLICATIONS



APPLICATION CONTENTS – FULL APPLICATION

- SF-424, Application for Federal Assistance
- SF-424A, Budget Information - Non-Construction Programs
- SF-424B, Assurances - Non-Construction Programs
- CD-511, Certification Regarding Lobbying
- SF-LLL, Disclosure of Lobbying Activities (if applicable)

APPLICATION CONTENTS, CONTINUED

- Full Technical Application
  - No more than twenty-five (25) pages that are responsive to program description and evaluation criteria
  - Recommended contents:
    - Executive Summary
    - Project Approach
    - Data Elements and Analysis
    - Communication Plan
    - Qualifications
- Budget Narrative
- Indirect Cost Rate Agreement (*if applicable*)
- Letters of Commitment (*Letters from any of the 2016-NIST-NSTIC-01 recipients or any of the partners on these projects may not be included in the application.*)
- Resumes (maximum of 2 pages per individual)
- Data Management Plan
- Statement of involvement with participants in the 2016 State Pilots

PROJECT APPROACH

- description of the proposed approach to the assessment including:
  - specific information about each organization that will be involved in the assessment and how these organizations will work together to complete the assessment;
  - the project leadership's plans to manage the project;
  - the proposed methodological approach to the assessment;
  - what information (or types of information) will be needed to complete the assessment;
  - proposed timelines/schedules for the interaction with the pilots; and
  - an overall schedule of specific tasks, milestones and events necessary to complete the assessment.

DATA ELEMENTS AND ANALYSIS

- proposed metrics and data collection needed to support the selected methodological approach
- plans to select, define, and collect the data
- proposed infrastructure to support the data collection and analysis
- plans to protect proprietary and sensitive information

COMMUNICATION PLAN

- description of how data and results from the project will be disseminated to target audiences including state and local government officials responsible for enterprise IT solutions
- explain how the applicant plans to identify target audiences, formulate materials to address target audiences, distribute information, and make information about the effectiveness of various trusted identity choices available

QUALIFICATIONS

- For organizations, description of the qualifications, proposed roles, and level of planned effort of the participating organization(s)
- For key personnel,
  - any past experience with assessing the economic impact of technology;
  - any past experience in the following disciplines: technology assessment, high-tech industry behavioral and structural analyses, microeconomic modeling of complex technology development and commercialization patterns, high-tech industry survey and data collection techniques, and quantitative and qualitative analyses of technology gaps that are inhibiting the advancement of technologies;
  - any past experience assessing state and local government programs and experience collaborating with state and local governments, and
  - any previously demonstrated ability to achieve positive outcomes in endeavors with program objectives that are similar to those of this NOFO, as described in Section I. of this NOFO.

STATEMENT OF INVOLVEMENT WITH PARTICIPANTS IN THE 2016 STATE PILOTS

- The applicant and each proposed subawardee, contractor, or other collaborator participating in the project must provide a detailed description of any commercial involvement or other financial ties with participants in the 2016 State Pilot projects within the last three years.
- These written statements will not be evaluated against any evaluation criteria but will be used to assess whether the applicant has any conflicts of interest that could lead to an impairment of objectivity, real or perceived, in carrying out the scope of work for this award.

EVALUATION CRITERIA

- Project Approach (30 points)
- Data Elements and Analysis (25 points)
- Communication Plan (25 points)
- Qualifications (20 points)

PROJECT APPROACH (30 POINTS)

Reviewers will evaluate the extent to which the applicant's proposed approach clearly addresses the NIST goals and the extent to which the proposed methodologies will efficiently and effectively assess the impact of the 2016 State Pilot Projects. This includes the following:

- the effectiveness and completeness of the planned methods for interacting with the pilots;
- the appropriateness of the planned timelines and schedule, including specific tasks and milestones; and
- the effectiveness of the plans to manage the project and ensure the realization of the project's goals and objectives.

DATA ELEMENTS AND ANALYSIS (25 POINTS)

Reviewers will evaluate the extent to which the proposed metrics and data collection are likely to be effective in comprehensively assessing the projects. This includes the plans to select, define, and collect the data as well as the proposed infrastructure to support the data collection and analysis. This also includes plans to protect proprietary and sensitive information.

COMMUNICATION PLAN (25 POINTS)

Reviewers will evaluate the likelihood that the applicant's plans for outreach and dissemination of the interim and final results will impact state and local government decision-making regarding adoption of trusted identity solutions. This includes assessing the appropriateness, quality, and completeness of the applicant's plans for the following:

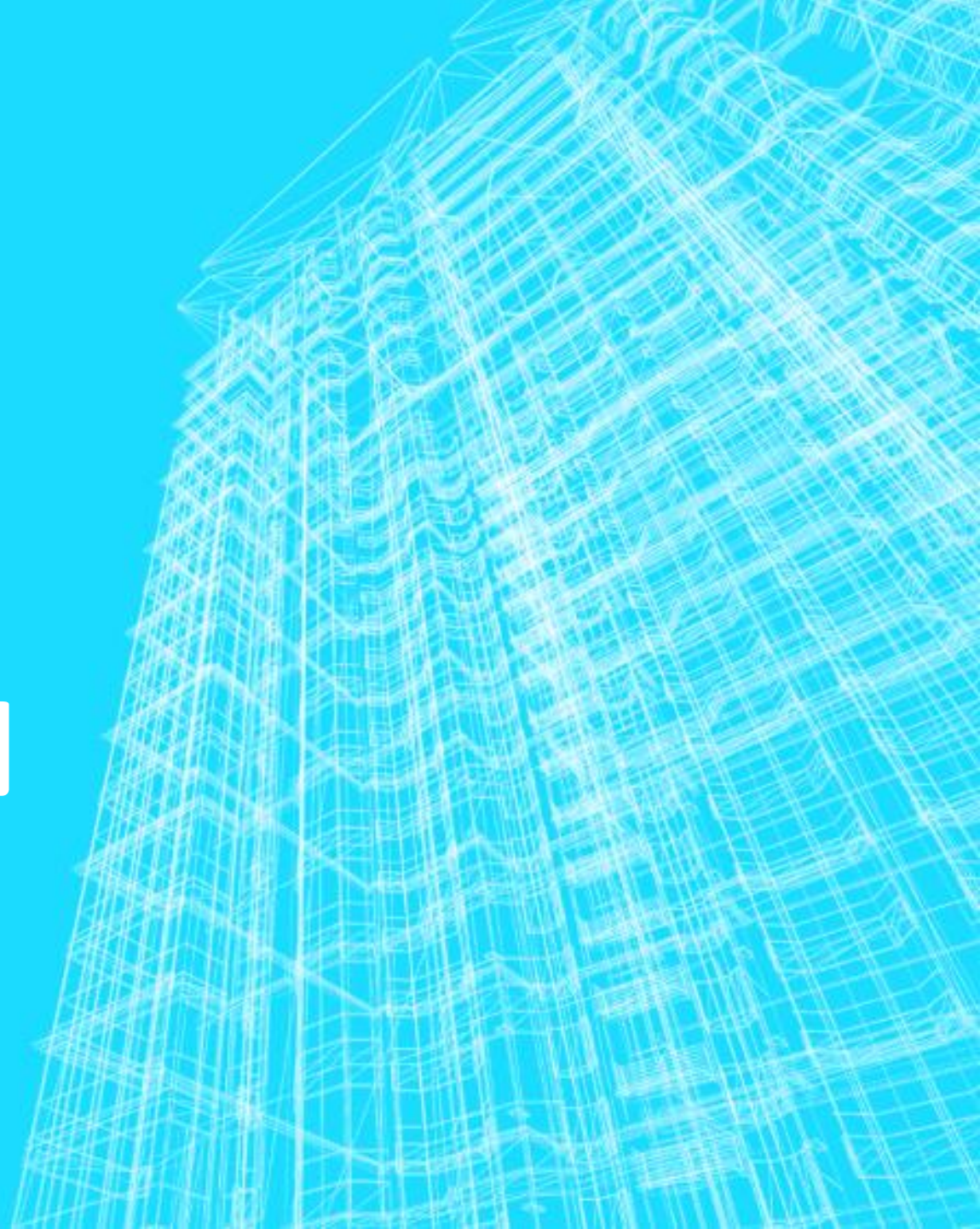
- identifying target audiences, including state and local government officials responsible for enterprise IT solutions;
- formulating materials to address the concerns and information needs of this group;
- distributing information to the target audience; and
- making information about the effectiveness of various trusted identity choices available to a larger audience.

QUALIFICATIONS (20 POINTS)

Reviewers will evaluate the extent to which the participating organizations and key personnel have the necessary qualifications to complete the project. This includes the following:

- past experience assessing the economic impact of technology;
- past experience in the following disciplines: technology assessment, high-tech industry behavioral and structural analyses, microeconomic modeling of complex technology development and commercialization patterns, high-tech industry survey and data collection techniques, and quantitative and qualitative analyses of technology gaps that are inhibiting the advancement of technologies;
- past experience assessing state and local government programs and experience collaborating with state and local governments; and
- previously demonstrated ability to achieve positive outcomes in endeavors with program objectives similar to those of this NOFO, as described in Section I. of this NOFO.

DUE DATE, FUNDING, APPLICATION SUBMISSION, AND EVALUATION AND SELECTION PROCESS



DUE DATES AND SCHEDULE

- Applications due Tuesday, May 9, 2017
- Earliest anticipated start date is September 1, 2017

APPLICATION SUBMISSION

- All applications must be submitted through Grants.gov.
  - **Verify that your registration is up to date early!**
  - **SAM requires annual registration renewal!**

- Hardcopy, email or faxed applications will not be accepted.

FUNDING

- $750K total over 3 years
- Only one award may be made

APPLICATION EVALUATION PROCESS

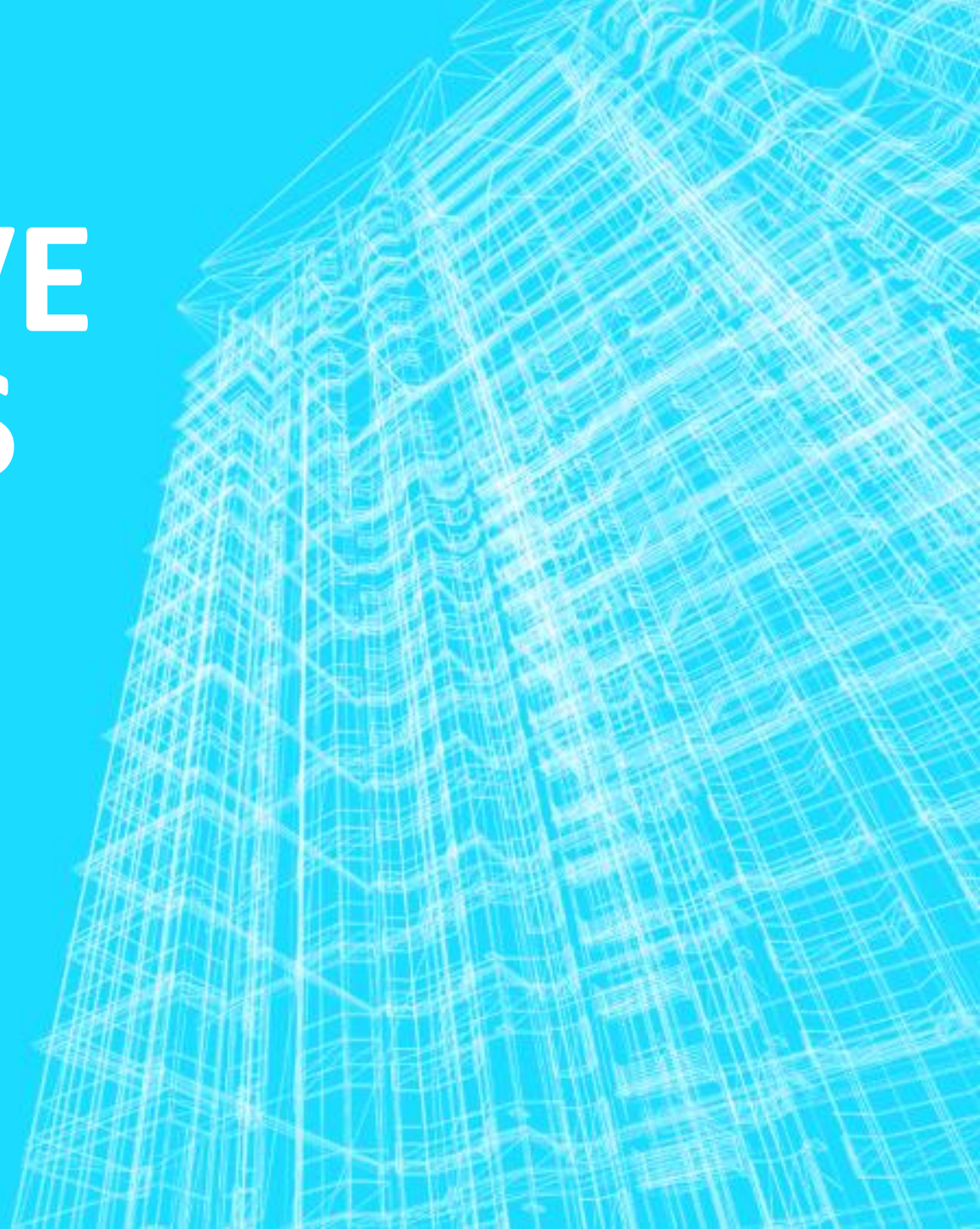
- Administrative Review
  - Eligibility
  - Completeness
  - Responsiveness to the Scope
- Technical Review
  - Using Evaluation Criteria
  - At least three independent reviews
- Evaluation Panel uses review scores to determine competitive range
- Questions may be sent to and/or webinars held with competitive applicants
- Evaluation Panel re-reviews application with additional information
- Selection made using reviews and selection factors

SELECTION FACTORS

- the availability of Federal funds;
- whether the project duplicates other projects funded by NIST, DoC, or by other Federal agencies;
- complementarity of the assessment approach to the pilots to be assessed;
- whether the applicant has any conflicts of interest that could lead to an impairment of objectivity, real or perceived, in assessing the 2016 State Pilot projects; and
- alignment with NIST priorities.

ADMINISTRATIVE REQUIREMENTS

LENNIN GREENWOOD
NIST GRANTS SPECIALIST



CONTENTS

- Budget Narrative Format
- Budget Narrative Content
  - Contracts vs. Subawards
  - Indirect Costs
- Allowable and Unallowable Costs
- Award Requirements
- Payment of Grant Funds
- Reporting Requirements
  - Performance and Financial Reports
  - Intellectual Property

GENERAL RULES OF THUMB…

Budget Format

- Separate Budget by project year so that work and the associated costs are clearly definable/associated with the available funding for that year.
- Costs should be placed under the applicable budget categories of Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Other, and Indirect Charges.
- The total dollar amounts listed under each budget category in the Budget Narrative must match the dollar amounts listed on the SF424A.
- Cost computations and written justification must be provided for all costs in the Budget Narrative.
- The Budget Narrative and SF424A should only include the Federal share of costs. Cost share is not required.
- Best estimates are acceptable.
- The Budget and scope are subject to negotiation and amendment, if selected for funding.

BUDGET NARRATIVE CONTENT

a. Personnel

- Name or TBD
- Job title
- Role of individual and description of work to be performed
- Salary
- Level of effort (in hours or percentage of time)
- Requested cost for each individual
- Total cost to project

* Consultants/contracted personnel should be listed under the Contractual budget category.

* Include sufficient time for personnel to complete reporting requirements and participate in public forums that help to develop the Identity Ecosystem Framework, such as the IDESG.

BUDGET NARRATIVE CONTENT

b. Fringe Benefits

- Identified separately from salaries and wages.
- Based on rates determined by organizational policy.
- Costs included as fringe should not be charged under another cost category.

c. Travel

- Include: destination; travel dates or duration of trip; names of travelers or number of people traveling; transportation rate, lodging rate, subsistence rate (per diem); and description of how travel is directly related to the project.
- For travel that is yet to be determined or destinations that are not known, provide best estimates based on prior experience.

BUDGET NARRATIVE CONTENT

d. Equipment

- Defined as: property with an acquisition cost of $5,000 or more (unless the organization has established lower levels) and expected service life of more than one year.
- Items that do not meet the threshold for “equipment” may be placed under the Supplies budget category.
- Identify each piece of equipment, the cost, and provide a description of how it will be used and why it is necessary for the successful completion of the project.
- Prorate costs for equipment that will be used for other purposes besides project-related effort.

e. Supplies

- Identify each supply item, and provide a breakdown of costs by quantity or unit of cost.
- Describe the necessity of the cost for the completion of the project.

BUDGET NARRATIVE CONTENT

f. Contractual

- Treat each contract or subaward as a separate line item.
- Describe the services provided and their purpose.
- Describe the necessity of the contract or subaward.
- Describe how costs were determined.
- For contracts, identify if the contract is sole sourced or competed.

BUDGET NARRATIVE CONTENT

Contracts vs. Subawards

The primary distinction between a sub-recipient and a vendor is the performance of programmatic work.

Sub-recipient

- Performs substantive portion of the programmatic work
- Involved in the design and conduct of the project
- Usually on cost-reimbursement
- Flow-through of OMB/CFR and award requirements
- No fee or profit can be charged on the grant for subrecipients

Vendor

- Provides the goods and services within normal business operations
- Provides similar goods or services to many different purchasers
- Operates in a competitive environment
- Not subject to Federal programmatic compliance requirements
- Profit can be charged

Subaward

An award of financial assistance made under an award by a recipient to an eligible sub-recipient or by a sub-recipient to a lower tier sub-recipient (DoC Grants Manual).

Contract (via a Vendor/Procurement)

Principal purpose of the relationship is the acquisition by purchase, lease, or barter, of property or services (DoC Grants Manual).

BUDGET NARRATIVE CONTENT

g. Construction

- Not an allowed cost under this program.

h. Other Direct Costs

- Costs that do not easily fit into the other cost categories.
- Identify the cost, and provide a breakdown of the cost by quantity or unit of cost.
- Describe the necessity of the cost for the completion of the project.

BUDGET NARRATIVE CONTENT

j. Indirect Charges

- Indirect costs include business expenses that are not readily identified, but are necessary for general operation and conduct of activities.
- Indirect cost rates are negotiated with the recipient's cognizant Federal agency.
- For applicants without a negotiated rate:
  - Use the 10% De Minimis Rate, authorized by 2 CFR 200.414.
  - Contact NIST staff for DOC General Indirect Cost Rate Program Guidelines.

ALLOWABLE COSTS

- Reasonable
- Allocable
- Allowable under grant terms, regulations, statute
- Necessary for the performance of the award
- Consistently charged regardless of source of funds

ALLOWABLE COSTS

- Direct costs for technical work.
  - Salaries of technical personnel on the project.
  - Equipment used on the project (pro-rated).
  - Materials and supplies.
- Award related audits - audits will be required by an external auditor (CPA or cognizant Federal audit agency), as specified in the Special Award Conditions in the Award Notice.
- Accounting system certification - if a recipient has never received Federal funding, a certification that indicates whether the recipient has a functioning financial management system meeting the provisions of 2 CFR 200.302 may be required from a CPA. Sample will be provided at time of award.

UNALLOWABLE COSTS

- Profit and Fees
- Application Writing/Development
- Contingency Fees
- Any cost disallowed by 2 CFR Part 200 and 48 CFR Part 31, if applicable
- Any cost not required for the approved work

AWARD REQUIREMENTS

- 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, as adopted by the Department of Commerce at 2 CFR 1327.101 (http://go.usa.gov/SBYh and http://go.usa.gov/SBg4).
- DoC Grants and Cooperative Manual (http://www.osec.doc.gov/oam/grants_management/policy/default.htm)
- DoC Financial Assistance Standard Terms and Conditions, December 26, 2014 (http://go.usa.gov/hKbj).
- Special Award Conditions specific to the Trusted Identities Group and each specific cooperative agreement.

PAYMENT OF GRANT FUNDS

- Award funds are paid electronically through the Automated Standard Application for Payment (ASAP) system managed by the US Treasury.
- Enrollment will be required if not already enrolled.

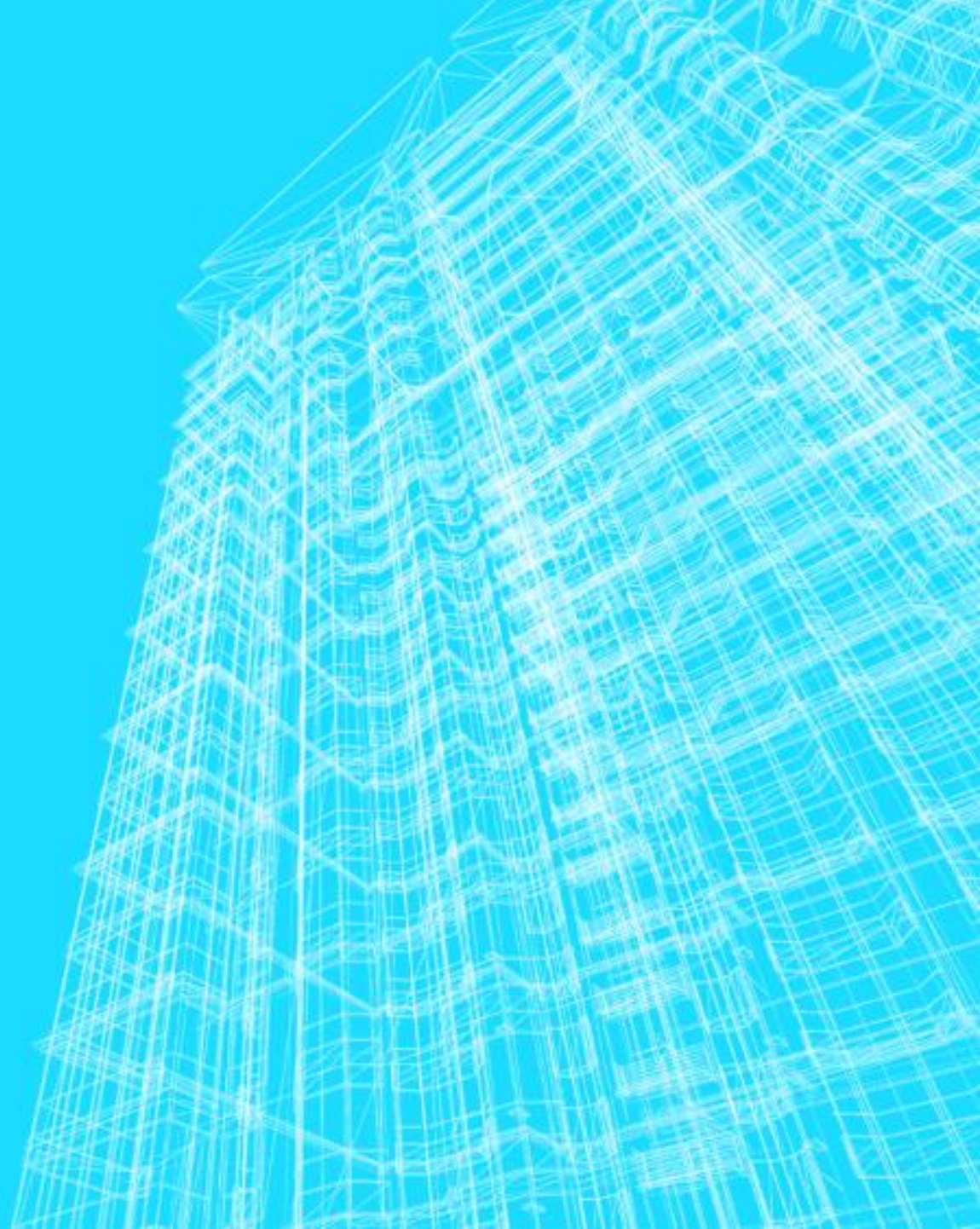
REPORTING REQUIREMENTS

- **SF425 Federal Financial Reports**
  - 30-days after the end of each calendar quarter.
  - Final 90-days after the end of the award.
- **Performance (Technical) Reports**
  - 30-days after the end of each calendar quarter.
  - Final 90-days after the end of the award.
  - Guidance on content will be provided by NPO.
- **Patent and Property Reports**
  - Patent reports (use iEdison.gov) and property reports, as needed.

REPORTING REQUIREMENTS - AUDITS

- States, Local Governments, Non-Profits follow 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
- Commercial Organizations follow the DoC Financial Assistance Standard Terms and Conditions, December 26, 2014 or Special Award Conditions in the award package.
- Recipients should budget for audit costs as needed.

QUESTION & ANSWER SESSION



trustedidentities.blogs.govdelivery.com

@TrustedIDsNIST

trustedidentities@nist.gov

nist.gov/itl/tig