



**INSTRUCTIONS FOR COMPLETING THE
Department of Homeland Security (DHS)
Funding Opportunity Announcement (FOA) Template**

OVERVIEW INFORMATION

Issued By	
U.S. Department of Homeland Security (DHS) Science & Technology Directorate, Office of University Programs	
Catalog of Federal Domestic Assistance (CFDA) Number	
Catalog of Federal Domestic Assistance (CFDA) Number: 97.104	
CFDA Title	
Homeland Security-related Science, Technology, Engineering and Mathematics Career Development Program (DHS HS-STEM)	
Funding Opportunity Announcement Title	
DHS HS-STEM Career Development Grants (CDG)	
Authorizing Authority for Program	
Authorities: 6 U.S.C. 188(b) and 6 U.S.C. 182(10).	
Appropriation Authority for Program	
The Omnibus Appropriations Act, Public Law 112-74, Division D, Title IV-Research and Development, Training and Services	
FOA Number	
DHS-12-ST-104-001	
Key Dates and Time	
Application Start Date:	01/19/2012
Application Submission Deadline Date:	03/22/2012 at 04:59 PM [EDT]
Anticipated Funding Selection Date:	07/01/2012
Anticipated Award Date:	07/30/2012
Other Key Dates	
Program start date - 09/01/2012	
Intergovernmental Review	
Is an intergovernmental review required? ☐ Yes ☒ No	

FOA EXECUTIVE SUMMARY

Program Type

Select the applicable program type: ☐ New ☒ Continuing ☐ One-time

Opportunity Category

Select the applicable opportunity category:

☒ Discretionary ☐ Mandatory ☒ Competitive ☐ Non-competitive
☐ Sole Source (Requires Awarding Office Pre-Approval and Explanation)

Application Process

This is an open competition. DHS uses a two-step competitive review process to evaluate submitted proposals. DHS will establish an external review panel to evaluate all of the proposals. Proposals that receive an external review rating of excellent or very good will be further considered during an internal review.

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

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

Eligible Applicants

List one or more of the following entities which are eligible to apply for this solicitation:

Others – please refer to Section III, Eligibility Information for additional information on eligible entities.

Type of Funding Instrument

Select the applicable funding instrument: ☐ Cooperative Agreement ☒ Grant

Cost Share or Match

Select the applicable requirement: ☐ Cost Match ☐ Cost Share ☒ None Required

Maintenance of Effort

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

Management and Administration

A minimum of ninety-two percent of all DHS award funds must go directly to scholarships or fellowships to support students in the areas specified. Remaining funds can support curriculum development efforts made by U.S. accredited four-year colleges and universities in accredited STEM programs, such as the courses available at institutions in the DHS Homeland Security Centers of Excellence (see http://www.dhs.gov/xres/programs/editorial_0498.shtm).

FULL ANNOUNCEMENT

I. Funding Opportunity Description

Program Overview and Priorities

The mission of the Department of Homeland Security's (DHS) Science & Technology (S&T) Directorate is to strengthen America's security and resiliency by providing knowledge products and innovative technology solutions for the Homeland Security Enterprise (HSE). In order to conduct, catalyze, and survey scientific discoveries and inventions relevant to existing and emerging homeland security challenges, S&T seeks to leverage academia to address Homeland Security needs and nurture the future technical workforce of the HSE.

The DHS Career Development Grant (CDG) program is one of several administered by the Office of University Programs intended to help achieve the goals of S&T. The CDG program creates early and ongoing synergies between the homeland security professional and scientific communities and students studying in HS-STEM fields at the U.S. accredited four-year colleges and universities, and to ensure a steady flow of homeland security researchers and practitioners for the future. The CDG program enables U.S. accredited four-year colleges and universities with existing and/or proposed programs in homeland security-related science, technology, engineering or mathematics to award undergraduate scholarships and/or graduate fellowships to qualified students who intend to pursue homeland security scientific, technology, engineering, or mathematic careers. Note: HS-STEM curricula are homeland security specific programs of study or concentrations within existing and/or proposed science, technology, engineering, or mathematics programs. These curricula may lead to majors, minors, certificates, or recognized concentrations in HS-STEM. DHS will support only those homeland security programs that are based on existing and/or proposed accredited science, technology, engineering, or mathematics curricula.

Each institution may submit only one application per department. Institutions may submit applications from multiple departments, however, only one grant will be awarded per institution, and only for research and support for students in one of the seventeen HS-STEM areas listed in Attachment A.

References

DHS S&T Office of University Programs (OUP)
<http://www.hsuniversityprograms.org>

DHS Quadrennial Homeland Security Review (QHSR)
http://www.dhs.gov/xlibrary/assets/qhsr_report.pdf

Resource for information regarding the DHS Centers of Excellence (COEs), Education Programs and Minority Serving Institutions (MSIs)
http://www.dhs.gov/xabout/structure/editorial_0530.shtm

Linkage to the Quadrennial Homeland Security Review (QHSR)

QHSR Mission VI: Maturing and Strengthening the Homeland Security Enterprise

Goal: Foster Innovative Approaches and Solutions Through Leading-Edge Science and Technology

Objective 1: **Scientifically study threats and vulnerabilities**: Pursue a rigorous scientific understanding of current and future threats to homeland security and the possible means to their prevention and mitigation.

Objective 2: **Develop innovative approaches and effective solutions**: Encourage and enable innovative approaches to critical homeland security challenges, fostering collaborative efforts involving government, academia, and the private sector.

Performance Measurements: 1) Number of awards made to academic institutions 2) Number of science, technology, engineering, and mathematics (STEM) students supported.

II. Funding Information

Award Amounts, Important Dates, and Extensions	
Available Funding for the FOA:	\$2,500,000 For FY 2012, up to \$2.5 million is estimated for all awards under this program. Institutions are allowed to submit applications for both programs; however awards are limited to one per institution.
Projected number of Awards:	6-10 awards
Projected Award Start Date(s):	09/01/2012 Anticipated Performance Period: Three-year term (for undergraduate scholarships at U.S. accredited four-year colleges and universities) and up to five -year terms (for graduate fellowships, at U.S. accredited four-year college and universities), which will be fully funded at the outset of the grant.

Projected Award End Date(s):	08/31/2012 to 08/31/2017 Anticipated Performance Period: Three-year term (for undergraduate scholarships at U.S. accredited four-year colleges and universities) and up to five -year terms (for graduate fellowships, at U.S. accredited four-year college and universities), which will be fully funded at the outset of the grant.
Period of Performance:	36-months for undergraduate scholarships and 60-months for the graduate fellowships.
Period of Performance	
Is an extension to the period of performance permitted? ☒ Yes ☐ No	

III. Eligibility Information

Eligibility Information
Eligible institutions include U.S. accredited four-year colleges and universities with an existing and/or proposed homeland security-related science, technology, engineering, and mathematics (HS-STEM) research and/or education programs. There is no cost-share or match required for this program. Non-Responsive Applications: Proposals with budgets exceeding the total award limits will not be considered for review. An individual institution can receive either a maximum of \$200,000 to fund multiple undergraduate scholarships for three years or a maximum of \$500,000 to fund multiple graduate fellowships for three five years. Awards are limited to one per institution. An individual institution can receive either a maximum of \$200,000 to fund multiple undergraduate scholarships for three years or a maximum of \$500,000 to fund multiple graduate fellowships for up to five years. Institutions are allowed to submit applications for both programs; however awards are limited to one per institution. Proposals with budgets exceeding the total award limits will not be considered for review. A minimum of ninety-two percent of all DHS award funds must go directly to scholarships or fellowships to support students in the HS-STEM research areas described above, towards a homeland security related career. Proposals with budgets that do not meet this requirement will not be considered for review. In addition, where a page limitation is expressed with respect to parts of the application, pages in excess of the page limit will not be reviewed. Without exception, applications must be received by Grants.gov on or before the solicitation closing date and time in this announcement or they will be returned to the sender without further consideration. <i>APPLICATIONS WILL BE CONSIDERED INELIGIBLE FOR FUNDING CONSIDERATION IF THEY FAIL TO MEET ANY ELIGIBILITY CRITERIA, INCLUDING THE VARIOUS PROCESS DEADLINES SET FORTH IN THIS FOA.</i>

IV. Funding Restrictions

Restrictions on Use of Award Funds

The following restrictions are in place:

1. DHS grant funds may only be used for the purpose set forth in the agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Equipment costs are unallowable. Construction costs are unallowable. The recipient institution will pay no less than 50% of all tuition and fees (not including stipend) for each student selected to participate in the CDG program.
2. Under this program, recipient institutions must award tuition assistance and stipends to a cohort of students who will receive support during the entire period of performance. The following restrictions apply:
3. For undergraduates, tuition and mandatory fees, plus a stipend of no more than \$1,000 per month for nine months. Stipends can be less than \$1000 per month if appropriate for the geographic region. Students must receive a stipend and travel support to internship location during summer months if paid internships cannot be secured. For graduate students, tuition and mandatory fees, plus a stipend of no more than \$2300 per month. Students must receive a stipend and travel support to internship location during summer months if paid internships cannot be secured.
4. Grants may be used to complement existing funding sources for students, but may not supplant these funds. DHS expects a net increase in the number of students supported in programs funded by CDGs.
5. Administrative costs for this program including indirect costs are limited to a maximum of eight percent (8%) of total direct costs and must be included in the maximum amount allowable under this program. Awards are limited to one per institution and \$500,000 per institution. An individual institution can receive either a maximum of \$200,000 to fund multiple undergraduate scholarships for three years or a maximum of \$500,000 to fund multiple graduate fellowships for up to five years.
6. Each institution may submit only one application per department. Institutions may submit applications from multiple departments, however, only one grant will be awarded per institution, and only for research and support for students in one of the HS-STEM areas listed in Section I.
7. Equipment is not an allowable cost under this program.
8. Pre-award costs are allowable only with the written consent of DHS and included in the award agreement.

V. Application Review Information and Selection Process

Application Review Information

DHS is fully committed to free and transparent competition among eligible entities. Ensuring an objective application rating system is crucial to this commitment as well as ensuring that any the Awarding Office and/or Program check any reviewer for potential conflicts of interest prior to being invited to review applications.

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

Application Selection Process

Review and Selection Process: DHS uses a two step process to evaluate submitted proposals. DHS will establish an external review panel to evaluate all of the proposals. Proposals that receive an external review rating of excellent or very good will be further considered during an internal review.

External Review panel members will be Subject Matter Experts (SMEs) in their research field. The external review panel members are not DHS employees. To determine possible conflicts of interest, potential external reviewers will be required to complete and sign conflicts of interest and nondisclosure forms. The review panel will give each proposal a rating of excellent, very good, good, fair, or poor.

Proposals that receive an external review rating of excellent or very good will be further considered by an internal review panel of DHS subject matter experts who will provide ratings regarding mission relevance, program management, and safety. Internal Review panel members are from DHS. To determine possible conflicts of interest, potential internal reviewers will be required to complete and sign conflicts of interest and nondisclosure forms. The review panel will give each proposal a rating of excellent, very good, good, fair, or poor.

Proposals that receive a rating of excellent are given priority consideration for funding. Proposals that receive a lower rating are considered as funds are available, with consideration to the goals of the program and DHS.

Technical and cost proposals submitted under this funding opportunity will be protected from unauthorized disclosure in accordance with applicable laws and regulations. DHS will keep the names of submitting institutions and individuals, as well as the substance of the proposals confidential except to reviewers, and will destroy any declined proposals.

DHS discourages, and will not consider any materials submitted by or on behalf of the applicant other than those materials requested in this funding opportunity announcement.

Each institution may submit only one application per department. Institutions may submit applications from multiple departments, however, only one grant will be awarded per institution, and only for research and support for students in one of the seventeen high priority research areas listed in Attachment A.

A. External Evaluation Criteria: DHS will use the following criteria to evaluate proposal submissions. Each of these criteria must be addressed by applicants. The corresponding score values indicate the relative importance that the DHS S&T Directorate places on each evaluation criterion.

a. Strength of Existing HS-STEM Program:

The application will be evaluated on the extent to which the institution has developed a comprehensive HS-STEM program. Ideally, this program incorporates academic rigor; employs qualified and experienced professors; incorporates a multi-disciplinary curriculum; has established connections with DHS and its partners in other security or first responder agencies; can demonstrate past program performance successes and outcomes; and possesses the potential to continue to contribute to meaningful student research experiences in one or more of the HS-STEM focus areas listed in this announcement. (ten pages); and/or,

Proposed HS-STEM Career Development Program:

The application will be evaluated to the extent to which the institution's plan for a DHS-STEM education, research, and/or career entry program is likely to be successful. Details should include the number of students to be supported, and those currently enrolled; how curricula may be expanded and modified in the future; has demonstrated the ability to link students with both internships and employment opportunities at approved science and engineering venues conducting research of importance to DHS, and how the recipient intends to track and report to DHS on supported student outcomes through until their entry into the homeland security workforce. (ten pages)

(A score value of 60% is set for these criteria whether one or both are included in the proposal.)

b. Program Management:

The applicant will be evaluated on the extent to which it demonstrates an administrative plan and organizational structure that ensures effective management of the scholarship and fellowship resources; business acumen; effective and appropriate financial controls, budget, administrative oversight, student and personnel management. (five pages, 30%)

NOTE: A minimum of ninety-two percent of all DHS award funds must go directly to scholarships or fellowships to support students including: tuition, living stipend and travel to required meetings and conferences, so the maximum percentage allowable for administrative and overhead costs is eight percent.

c. Institutional Commitment to HS-STEM Career Development Program:

The application will be evaluated to the extent to which the institution can ensure an on-going institutional commitment to facilitating and furthering the plans and goals of the HS-STEM program, which is to create a supportive environment for homeland security research and education. This commitment should be outlined in the letters of support (i.e. President, Dean, and University Authorities) and the in-kind contributions (i.e. facilities, equipment) (six pages, 10%)

B. Internal Evaluation Criteria: The Internal Review Committee will use the following criteria to evaluate proposal submissions. The weighting by percentage for each evaluation category is noted in parenthesis below. The following is a detailed description of the factors for each criterion:

a. Mission Relevance:

Proposed program addresses agency priorities (high-priority needs of the seventeen HS - STEM research areas including: advanced data analysis and visualization; biological threats & countermeasures; border security; chemical threats and countermeasures; communications and interoperability; community, commerce and infrastructure resilience; explosives detection, mitigation and response; emergency preparedness and response; food and agriculture security; human factors; immigration studies; infrastructure protection; maritime and port security; natural disasters and related geophysical studies; risk, economics, and decision sciences; social and behavioral sciences; and transportation security) See Attachment A. (45%)

b. Program Management:

The applicant will be evaluated on the extent to which it demonstrates an administrative plan and organizational structure that ensures effective management of the scholarship and fellowship resources; business acumen; effective and appropriate financial controls, budget, administrative oversight, student and personnel management. In the case of previous award recipients, past performance will be considered in this evaluation criteria. (45%)

c. Safety:

Proposed program has adequate safety measures in place. The application should include a summary of any relevant institutional laboratory and research safety requirements, as well as any other university resources available to promote research safety (i.e. research safety training. 10%)

DHS's designated Selection Authority will make final funding decisions based on the outcome of the evaluations, with consideration to availability of funds, program balance, applicants' prior award performance, assurance of geographic and discipline diversity, and other policy factors.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award

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

Applicants will be notified about evaluation decisions on or about July 1, 2011. A grant award will be executed by a DHS Grants Officer authorized to obligate DHS funding.

Administrative and Federal Financial Requirements

In addition to the four requirements listed below, all successful applicants for all DHS grant and cooperative agreements are also required to comply with DHS Standard Administrative Terms and Conditions available on page 6 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

1. Information and Data Quality:

Congress, through OMB, has instructed each Federal agency to implement Information Quality Guidelines designed to "provide policy and procedural guidance...for ensuring and maximizing the quality, objectivity, utility, and integrity of information, including statistical information, disseminated by Federal agencies." Information quality procedures may apply to data generated by grant or cooperative agreement recipients if those data are disseminated as described in the Guidelines. The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that is (1) first produced in a project that is supported in whole or in part with Federal funds and (2) cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data are requested by the public, DHS must ask for it, and the awardee must submit it, in accordance with A-110 and applicable regulations at 40 C.F.R. 30.36.

2. Biosafety and Select Agent Authority:

Recipient must conduct laboratory research in compliance with DHS Management Directive (MD) 10101, "Biosafety", the latest edition of CDC/NIH Biosafety in Microbiological and Biomedical Laboratories ("BMBL"), NIH Guidelines for Research Involving Recombinant DNA Molecules ("NIH Guidelines"), and other applicable standards and guidelines pertaining to laboratory biosafety. For each research project involving recombinant DNA (as defined in the NIH Guidelines), the Recipient must submit documentation of protocol approval by an appropriately constituted Institutional Biosafety Committee ("IBC"). For work involving Biological Select Agents and Toxins ("BSAT"), the Recipient (and any constituent laboratories) will comply with applicable Federal laws and regulations and DHS policies pertaining to the possession and use of BSAT including, but not limited to, 42 CFR 73 "Select Agents and Toxins", 7 CFR 331 "Possession, Use, and Transfer of Select Agents and Toxins", 9 CFR 121 "Possession, Use, and Transfer of Select Agents and Toxins", Public Law 107-56, Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA Patriot Act) Act of 2001", Public Law 107-188 "Public Health Security and Bioterrorism Preparedness and Response Act of 2002", and DHS MD 10102 "Select Agent and Toxin Security". If the Recipient will conduct research involving BSATs (see the HHS and USDA Select Agents and Toxins List, <http://www.cdc.gov/od/sap/docs/salist.pdf>) the Recipient must complete registration with CDC (or USDA, depending on the agent) before using DHS funds. No DHS funds can be used for activities involving BSAT if the final registration certificate is denied.

3. Potential recipients under this announcement are reminded of the Export Administration Regulations, the International Traffic in Arms Regulations, and other Federal regulations restricting the release of critical technologies, including technical data, to foreign nationals.

4. **FEDERAL DEBT STATUS.** The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (OMB Circular A-129, "Policies for Federal Credit Programs and Non-Tax Receivables")

A complete list of Federal Financial Requirements is available at:

http://www.whitehouse.gov/omb/grants_forms

Programmatic Reporting Requirements

Reporting Requirements:

1. Financial Reports:

- a. The recipient shall submit annual financial reports (SF 425, Financial Report) to the DHS Grants Officer no later than 90 days following the one-year anniversary date of the performance period start date. All subsequent annual reports will be due on the anniversary of the first annual report.
- b. The recipient is required to submit a quarterly Cash Transaction Report (SF 425) to the Department of Health and Human Services (HHS).
- c. The recipient is required to submit a Final Financial Report (SF 425) to the DHS Grants Officer within 90 days after the expiration date of the performance period.

2. Performance Reports:

- a. The recipient shall submit an annual performance report to the DHS Grants Officer no later than 90 days following the one-year anniversary date of the performance period start date. All subsequent annual reports will be due on the anniversary of the first annual report. The annual report shall compare actual accomplishments to the approved project objectives.
- b. The recipient institution shall submit a report on each supported student within 90 days of that student completing his/her tenure as a scholarship/fellowship recipient or graduating or leaving the program for any reason. The report should be no more than five pages, single-spaced, and should summarize each student's experience under the funding received. The report should include:
 - HS-STEM Major and Minor
 - Research Experience within HS-STEM research areas
 - Degree received and date
 - A summary of research accomplishments and contributions
 - Any new skills and/or knowledge acquired
 - Relevant conferences, seminars and/or lectures attended
 - Publications, presentations, poster sessions, and/or accomplishment of project milestones, if any
 - Internship placement and experience
 - Post-award activity, post-graduation placement and venue for the HS-STEM professional employment requirement
- c. The final Performance Report is due to the DHS Grants Officer within 90 days after the expiration date of the performance period.

VII. DHS [Component Acronym] Contact Information

Contact and Resource Information

DHS Program Officer, Technical Contact:

Stephanie Willett
U.S. Department of Homeland Security
Mail Stop 0217
245 Murray Lane, SW
Washington, DC 20528-0217
Phone: 202-254-6679
e-mail: stephanie.willett@dhs.gov

DHS Grants Specialist, Administrative Contact:

Lisa Johnson
U.S. Department of Homeland Security
Mail Stop 0115
245 Murray Lane, SW, Room 3051
Washington, DC 20528-0115
Phone: 202-447-5094
e-mail: Lisa.Johnson@dhs.gov

Electronic Submissions Support:

support@grants.gov
(800) 518-4786

Office of University Programs Email address:

UniversityPrograms@dhs.gov

Other Critical Information

Additional Information

- Please identify any proprietary information and contact the Component/Directorate issuing this FOA to obtain information about procedures and protocols to ensure the safekeeping of such information.
- If the Component/Directorate introduces subsequent amendments to this application, those amendments will be posted to www.grants.gov.
- The government is not obligated to make any award as a result of the announcement
- Only grants officers can bind the government to the expenditure of funds.

Other Information:

Please visit www.dhs.gov for information on the Department of Homeland Security.

1. Copyright:

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

2. Data Rights:

General Requirements: The Recipient grants the Government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in:

- a. Any data that is first produced under this Agreement and provided to the Government; or
- b. Any data owned by third parties that is incorporated in data provided to the Government under this Agreement.

"Data" means recorded information, regardless of form or the media on which it may be recorded.

Requirements for subawards: The Recipient agrees to include in any subaward made under this Agreement the requirements of the *Copyright* and *Data Rights* paragraphs of this article and of 37 C.F.R. 401.14.

3. Technology Transfer:

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

VIII. How to Apply

Application Instructions

A. Address to Request Application Package:

Use Grants.gov to obtain application forms and instructions:

1. Go to <http://www.grants.gov>
2. On the left column click "Apply for Grants," and then click "Download a Grant Application Package."
3. Enter the Catalog of Federal Domestic Assistance (CFDA) or the funding opportunity number (see the beginning of this announcement), and then click "Download Package."
4. Under "Instructions & Application" at the bottom right of the next screen click "Download" for this opportunity
5. Follow the prompts to download the application package and the instructions package (if applicable).

B. How to Submit an Application:

PLEASE NOTE: To avoid submission errors you must ONLY CREATE, SAVE, & SUBMIT applications in an Adobe Reader version compatible with Grants.gov. Documents in applications package should be prepared using the same version of Adobe Reader.

1. Applications must be submitted electronically through Grants.gov.
2. To submit an application through Grants.gov, applicants use Adobe Reader. You must use a version of Adobe Reader that is compatible with Grants.gov. Adobe Reader is available from Grants.gov at no charge.
3. The applicant must have a DUNS number to submit an application through Grants.gov. See the Grants.gov website for information on how to obtain a DUNS number. In addition, the applicant must be registered with the Central Contractor Registry (CCR) to submit an application through Grants.gov. See the Grants.gov website for information on how to register with the CCR.

The applicant must be registered, credentialed and authorized at Grants.gov to submit an application through Grants.gov. See the Grants.gov website for information on how to register, obtain a credential and become authorized.

DHS strongly encourages applicants to obtain or update all registrations, credentials and authorizations related to Grants.gov well in advance of the deadline for submission.

If the applicant encounters difficulties, please contact the Grants.gov Help Desk at 1-800-518-4726 to report the problem and obtain assistance with the system.

4. We may request applicants provide original signatures on forms at a later date.

C. Content and Form of Application:

You must complete the mandatory forms for this announcement [includes the SF-424 (Application for Federal Assistance), Budget Section, Project Narrative, Other Project Information] in accordance with the application instructions on Grants.gov and additional instructions below. If the applicant is submitting any information that is deemed proprietary, please denote the beginning and ending of such information with asterisks (**).

All applications must be self-contained within specified page limitations, Internet web site addresses (URLs) may not be used to provide information necessary to the review because reviewers are under no obligation to view the Internet sites.

MANDATORY FILES:

1. SF 424 – Application for Federal Assistance:

Applicants must complete an SF 424 application form. This form may be completed while on the Grants.gov website or it can be completed offline in its entirety.

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

2. Budget Form:

SF 424: Applicants must complete a budget for each year of the grant and a cumulative budget. Applicants must provide budgets by object class (salaries, fringe, travel, indirect, etc.). Funds may be requested as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions. Attach your budget justification (see below) at Budget Narrative Attachment form.

3. Budget Justification File(s): Budget detail is required for:

- a. Participant/Trainee Support Costs: For scholarships and fellowships, include expected numbers of undergraduate and graduate students supported, funding amounts per student, elements of scholarships and fellowships to be included in funding, e.g., tuition/fees/health insurance, stipends, travel, subsistence. A minimum of ninety-two percent of all DHS award funds must go directly to scholarships or fellowships to support students. The institution, when applying for support under this program, is certifying that it is in compliance with applicable federal laws governing foreign student participation in research programs (e.g., compliance with applicable visa requirements, deemed export control laws, and other applicable export control laws).

Students must attend one DHS S&T OUP sponsored conference during their tenure in the program. The Recipient will pay for the sponsored student to attend; this will come out of the ninety-two percent budgeted funds.

The Recipient will pay no less than 50% of all tuition and fees (not including stipend) for each student selected to participate in the CDG program.

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

Travel is limited to the designated supported students and their mentors while traveling with students. Provide the costs of project-related travel. Any travel not authorized in the award must be approved in writing by DHS in advance of the travel. All travel requests must be submitted 60 days prior to the proposed travel date.

Travel required in the performance of the duties approved in the award must comply with the applicable Office of Management & Budget (OMB) Cost Principles Circular.

Foreign travel using funds obtained under this award is generally not supported. However, under special circumstances, DHS may approve student foreign travel. Foreign travel requests must be approved by DHS in advance and in writing. All foreign travel requests must be submitted 60 days prior to the proposed travel date.

- b. Administrative Costs for this program including the amount allowable using an approved indirect cost rate agreement are limited to a maximum of eight percent of total direct costs and must be included in the maximum amount allowable under this program (An individual institution can receive either a maximum of \$200,000 to fund multiple undergraduate scholarships or a maximum of \$500,000 to fund multiple graduate fellowships.). Administrative costs may consist of the following:

- i. Personnel: Costs of employee salaries and wages.

Justification: Identify the Career Development Program Coordinator, or point of contact. For each staff person, provide the title, time commitment to the CDG (in months), annual salary, grant salary, and wage rates. The institution, when applying for support under this program, is certifying that it is in compliance with applicable federal laws such as governing foreign student participation in research programs (e.g., compliance with applicable visa requirements, deemed export control laws, and other applicable export control laws).

- ii. Fringe Benefits: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

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

- iii. Other Direct Costs: Provide an itemized list with costs for any other item proposed as a direct cost and state the basis for each proposed item.

- iv. Indirect Costs: If claiming indirect costs, provide a copy of the latest rate agreement approved by a cognizant Federal government agency. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the grant or cooperative agreement. Also, if the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

4. **Certifications/Assurances:**

- a. Applicants must submit the SF 424B – Assurances – Non-Construction Programs form, which is a separate form in the application package.
- b. By signing and submitting an application under this announcement, the applicant is providing: Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions (see Attachment B or <http://csrc.nist.gov/grants/cd511.pdf>); Certification Regarding Drug-Free Workplace Requirements (see Attachment B or <http://csrc.nist.gov/grants/cd511.pdf>); and Certification that the applicant is not delinquent on any Federal debt. In addition, by signing and submitting an application under this announcement, the applicant is providing certification that it will comply with section 163 of the Continuing Appropriations Resolution, 2010, Division B of Pub. L. No. 111-68 (CR), which states: "None of the funds made available by this joint resolution or any prior Act may be provided to the Association of Community Organizations for Reform Now (ACORN), or any of its affiliates, subsidiaries, or allied organizations." The complete OMB guidance on section 163 can be found at: http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda_2010/m10-02.pdf
- c. Attach the Certification Regarding Lobbying (Attachment B of this funding opportunity or <http://csrc.nist.gov/grants/cd511.pdf>) to the Other Project Information. If paragraph two of the certification applies then complete and submit the SF-LLL Disclosure of Lobbying which is provided as an optional form in the application package.

5. **Project Information:**

- a. **Project Information:** Applicants must complete Other Project Information which includes information regarding use of human subjects, use of animal subjects, proprietary information, among other things.
- b. **Project Narrative:** The Project Narrative section should contain a well-argued and specific proposal for activities that will address the elements in this funding opportunity. The total narrative for applicants proposing a new HS-STEM program should not exceed 21 pages. The total narrative for applicants with an existing HS-STEM program and a new proposed program cannot exceed 31 pages. For the purpose of this announcement, an existing HS-STEM program is defined as one that has been funded by DHS under past HS-STEM announcements.

- i. Strength of Existing HS-STEM program and/or Proposed HS-STEM Career Development Program 10 pages each;
 - ii. Program Management 5 pages; and
 - iii. Institutional Commitment to HS-STEM Career Development Program 6 pages (see also Section I Funding Opportunity Description, and Section V.B Evaluation Criteria).
 - iv. Evaluation and status of current DHS supported programs at the institution. This section should include metrics to evaluate performance such as GPAs, number of students supported, degrees received and dates, student research accomplishments, post-award activity and post-graduation placements, student publications, presentations, poster sessions, and/or accomplishment of project milestones, internship and career placement and experience. Attach the Project Narrative to the Project Narrative Attachment form.
- c. U.S. accredited four-year colleges and universities that meet the eligibility requirements must include the following in their applications:
- i. A description of an established HS-STEM research and/or education program, or a program to be established by September 1, 2012.
 - ii. Details of the application and award process for selecting scholarship and/or fellowship award recipients. This process must include panel reviews by relevant subject matter experts that evaluate the students' applications. Award recipients (qualified students) must meet DHS minimum standards including:
 - a) Must be U.S. citizens.
 - b) Must have and *maintain* a cumulative GPA of 3.30 or higher on a 4.00 scale, averaged over all academic terms.
 - c) Must major in priority HS-STEM disciplines associated with the research areas (see Section I). Students attending professional schools are generally not eligible for consideration (e.g. law school, medical school).
 - d) Must attend the annual HS-STEM Career Development Conference in Washington, DC (October 2011) during the first year of their award. [Note: failure to attend the Career Development Conference may cause forfeiture of award].
 - iii. An approach to the assignment of qualified academic mentors for each recipient of a fellowship or scholarship award.
 - iv. A plan for identifying and placing students in a required ten week HS-STEM relevant summer research experience at a DHS laboratory, or other federal, state, local or tribal facility engaged in HS-STEM related research and development. The recipient will provide funding for the summer program from the grant funding.
 - v. Details of a strategy to ensure students obtain HS-STEM related employment. This strategy must describe the following elements:
 - a) A means to ensure the undergraduate (scholar) or fellow (graduate) recipient makes and honors a commitment to employment at a DHS-approved HS-STEM venue for one year (see overview section).

- b) A plan to ensure that students will obtain employment, not funded by this award, in a relevant HS-STEM field during or upon completion of tenure in the program and the DHS commitment in “a,” above. Employment must be appropriate for the degree they are pursuing (e.g., bachelors, masters, and doctorate).
 - vi. An approach to evaluating the outcome of the grant that includes metrics to measure student success (e.g., GPAs, number of students supported, degrees received and dates, student research accomplishments, post-award activity and post-graduation placements, student publications, presentations, poster sessions, and/or accomplishment of project milestones, internship and career placement and experience).
 - vii. Recipients must allow a deferment of the one year service requirement for recipients who have successfully been accepted into a HS-STEM related Graduate Program.
 - viii. Under this program, recipient institutions must award tuition assistance and stipends to a cohort of students who will receive support during the entire period of performance. The following restrictions apply:
 - a) For undergraduates, tuition and mandatory fees, plus a stipend of no more than \$1,000 per month for nine months. Stipends can be less than \$1000 per month if appropriate for the geographic region. Students must receive a stipend and travel support to internship location during summer months, if paid internships cannot be secured.
 - b) For graduate students, tuition and mandatory fees, plus a stipend of no more than \$2300 per month. Students must receive a stipend and travel support to internship location during summer months if paid internships cannot be secured.
 - ix. Recipient institutions should plan to make student awards by September 1, 2012. Awards may be given earlier as long as the student will continue matriculating in fall 2012. The recipient institution will pay no less than 50% of all tuition and fees (not including stipend) for each student selected to participate in the CDG program. A stipend is defined as a fixed periodic payment granted to students selected to receive funding under a Career Development Grant Awards. Note: Undergraduate scholarships and graduate fellowships awarded by the recipient institution and funded through these grants must be committed to qualified students (refer to section IV.C.5.c.ii) for the duration of their tenure, up to two years for an undergraduate scholarship, or up to three years for a graduate fellowship.
 - x. Develop a plan to monitor the activity of individuals students to assure compliance with program requirements; develop a mitigation strategy; and establish procedures to ensure funds are used appropriately and (if needed) returned to DHS S&T.
 - xi. Develop a plan to track student outcomes for up to six years after graduation from the program to monitor homeland security employment placement.
- d. Other Attachments Forms (see also Section I. Funding Opportunity Description and Section V. Evaluation Criteria): Attach the following additional items to the Other Project Information form. All letters should be dated within 3 months of the submission date.

- i. Departmental Letter: The relevant department or research/education center *must* provide at least one letter, not to exceed one page, which indicates its support and commitment to the proposed HS-STEM Career Development Program. The letters of support cannot come from the PI of the proposed program or any faculty receiving support as a result of this grant.
- ii. Institutional Commitment: The dean or vice-president for research and/or education of the recipient institution also *must* provide at least one letter, not to exceed one page, which indicates institutional support and commitment to the proposed HS-STEM Career Development Program. The letters of support can not come from the PI of the proposed program or any faculty receiving support as a result of this grant.
- iii. Indirect Cost Rate Agreement: Applicants are only required to submit copies of current indirect cost rate agreements if indirect costs are included in the proposed budget.
- iv. Negotiated Fringe Benefit Agreement: If no agreement exists, the amounts and percentages of all items that comprise the fringe rate, and the basis for allocation.
- v. Certification Regarding Lobbying

6. Attachments (optional):

- i. Use the optional "Attachments" form to include safety requirement information requested under section V.B.c. This is an internal review criteria which must be addressed by all applicants particularly those involving potentially high risk research (i.e. Biological Threats and Countermeasures, Food and Agricultural Security, Explosives Detection Mediation and Response). This section should include a summary of any relevant institutional laboratory and research safety requirements, as well as any other university resources available to promote research safety. This section should provide detailed information on how institutions will keep participating students safe when conducting research under the Career Development Grant.
- ii. You may also use this section if you need more room to attach any other document(s) not specifically identified elsewhere in this funding opportunity.

Do not include any additional documents not requested in the FOA. They will not be considered as part of the competitive review process.

IX. Application and Submission Information

Application and Submission Information

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

For a hardcopy of the full announcement, please submit a request to:

Stephanie Willett
Department of Homeland Security
Science and Technology Directorate
Washington DC 20528
Phone: 202-254-6679

Attachment A

HS-STEM disciplines and research areas

Award Recipients will be responsible for establishing courses of study related to DHS S&T areas of research and development as described below. Since homeland security (HS) technology needs are broad, DHS welcomes applications from MSIs with interest in any area of science (including social science), technology, mathematics and engineering, provided they are building enduring capabilities in the following homeland security priority research areas:

1. **Advanced Data Analysis and Visualization:** information extraction, knowledge management, and visualization of large quantities of data to enhance data fusion, situational awareness, and threat detection. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Biology, Computer Science, Engineering, Health Sciences, Mathematics, and Psychology

S&T Division: Infrastructure Protection & Disaster Management; First Responders Group/Cyber

DHS COE: Command, Control and Interoperability (C2I) Rutgers University and Purdue University

<http://ccicada.rutgers.edu/>

<http://www.purdue.edu/discoverypark/vaccine/>

2. **Biological Threats & Countermeasures:** assessment, characterization and prioritization of chemical-biological threats; detection and warning systems; agro-defense and food security; biological countermeasures; and decontamination, restoration and medical response to biological threat events. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Biology, Veterinary Science, Emergency Medicine, Chemistry, Agriculture, Computer Science, Economics, Engineering, Health Sciences, Mathematics, Physics, and Planetary Science.

S&T Division: Chemical/Biological

DHS COEs: Food Protection and Defense, University of Minnesota

<http://www.ncfpd.umn.edu/>

Foreign and Zoonotic Disease Defense, Texas A&M University

<http://fazd.tamu.edu/>

Center for Advancing Microbial Risk Assessment, Michigan State University

<http://www.camra.msu.edu/>

3. **Border Security:** technologies to monitor and inspect cargo that cross our land, maritime borders and ports of entry; tools to monitor people who cross our land, maritime borders and ports of entry; evaluation of the policies and procedures designed to secure the border while welcoming legitimate visitors and trade. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Computer Science, Engineering, Social Science, and Aeronautics.

S&T Division: Borders & Maritime

DHS COE: Border Security and Immigration, University of Arizona and University of Texas at El Paso

<http://www.borders.arizona.edu/>

4. **Chemical Threats and Countermeasures:** assessment, characterization and prioritization of chemical-biological threats; detection and warning systems; agro-defense and food security; chemical countermeasures; and decontamination, restoration and response to chemical threat events. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS research area: e.g. Chemistry, Chemical Engineering, Materials engineering/Science, Biochemistry, and Meteorology.

S&T Division: Chemical/Biological

DHS COE: Food Protection and Defense, University of Minnesota

<http://www.ncfpd.umn.edu/>

5. **Communications and Interoperability:** interoperable communication for emergency responders. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Engineering

S&T Division: Infrastructure Protection & Disaster Management; First Responders Group

DHS COE: Command, Control and Interoperability (C2I) Rutgers University and Purdue University

<http://ccicada.rutgers.edu/>

<http://www.purdue.edu/discoverypark/vaccine/>

6. **Community, Commerce and Infrastructure Resilience:** multidisciplinary research to develop approaches to improve community resilience across the United States, improving community resilience and determining ways where public investments can foster resilient communities. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS research area: e.g. economics, social sciences, psychology, public health, urban planning, environmental studies, engineering etc.

S&T Division: Infrastructure Protection & Disaster Management

DHS COE: Preparedness & Catastrophic Event Response, Johns Hopkins University; Natural Disasters and Coastal Infrastructure and Emergency Management

<http://hazardscenter.unc.edu/>

<http://www.jsucoe.org/>

<http://www.jsums.edu/cset/or/centers/centndciem.htm>

7. **Explosives Detection, Mitigation and Response:** the detection, mitigation, and response to explosives in a wide variety of contexts. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Chemistry, Engineering, Computer Science, Mathematics, Physics, and Social Sciences.

S&T Division: Explosives

DHS COE: Explosives Detection Mitigation, and Response at Northeastern University and the University of Rhode Island

<http://www.northeastern.edu/alert/>

<http://energetics.chm.uri.edu/>

8. **Emergency Preparedness and Response:** decision support tools to aid in the preparation or response to catastrophic events; studies of public risk communication; medicine and public health; business technology for first-responders; The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Computer Science, Economics, Engineering, Physics and Quantitative Political Science.

S&T Division: Infrastructure Protection & Disaster Management

DHS COE: Coastal Hazards Center, University of North Carolina, Chapel Hill, Jackson State University; Center for Risk and Economic Analysis, University of Southern California, University of Southern California

<http://hazardscenter.unc.edu/>

<http://www.jsucoee.org/>

<http://www.jsums.edu/cset/or/centers/centndciem.htm>

<http://create.usc.edu/>

9. **Food and Agriculture Security:** assessment, characterization and prioritization of chemical-biological threats; detection and warning systems; agro-defense and food security; biological or chemical countermeasures; and decontamination, restoration and medical response to biological or chemical threat events. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Agriculture, Bio-Chem, Epidemiology, Veterinary Science, Biology, Chemistry, Computer Science, Economics, Mathematics, Engineering, Physics, Planetary Science, and Health Sciences.

S&T Division: Chemical/Biological

DHS COE: Food Protection and Defense, University of Minnesota

<http://www.ncfpd.umn.edu/>

Foreign and Zoonotic Disease Defense, Texas A&M University

<http://fazd.tamu.edu/>

10. **Human Factors:** integration of human factors concerns into homeland security technologies to improve utility and operator safety; assessments of public acceptance of homeland security technologies; use of technology to discern critical aspects of human behavior. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Computer Science, Engineering, Health Sciences, Psychology, and Social sciences.

S&T Division: Human Factors/Behavioral Sciences

DHS COEs: Explosives Detection Mitigation & Response Northeastern University;

<http://www.northeastern.edu/alert/>

Border Security and Immigration, University of Arizona, and University of Texas at El Paso <http://www.borders.arizona.edu/>

Center for Maritime, Island and Remote and Extreme Environment
Security (MIREES) - Stevens Institute of Technology and
University of Hawaii

<http://www.cimes.hawaii.edu/>

11. **Immigration Studies:** studies of the integration of new immigrants into U.S. society and the consequences of successful/failed assimilation. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Computer Science, Economics, Social Science, and Political Science

S&T Division: Borders & Maritime

DHS COE: Border Security and Immigration, University of Arizona and
University of Texas at El Paso

<http://www.borders.arizona.edu/>

12. **Infrastructure Protection:** assessment of relative threats and vulnerabilities of critical infrastructure; estimation of consequences of natural disasters or terrorist attacks to critical infrastructure; application of engineering technologies or tools to enhance DHS' ability to prepare, predict, and minimize or prevent damage to critical infrastructure from natural hazards. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Computer Science, Economics, Engineering, Physics, Meteorology, Oceanography, Hydrology, Marine Science, and Business Administration.

S&T Division: Infrastructure Protection & Disaster Management

DHS COE: Center for Maritime, Island and Remote and Extreme Environment
Security (MIREES) - Stevens Institute of Technology and
University of Hawaii

<http://www.cimes.hawaii.edu/>

Risk and Economic Analysis, University of Southern California

<http://create.usc.edu/>

13. **Maritime and Port Security:** technologies and tools to secure national maritime borders and U.S. maritime interests, support global maritime awareness, defend maritime commerce and global supply chains, minimize damage and expedite recovery from attacks or catastrophic events impacting maritime interests, and protect coastal population centers. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Economics, Chemistry, Operations Research, Computer Science and Engineering, Maritime Engineering and Shipping Supply Chain (MBA), Maritime Meteorology, Remote Sensing.

S&T Division: Borders & Maritime

DHS COE: Center for Maritime, Island and Remote and Extreme Environment Security (MIREES) - Stevens Institute of Technology and University of Hawaii

<http://www.cimes.hawaii.edu/>

14. **Natural Disasters and Related Geophysical Studies:** assessment of relative threats and vulnerabilities of critical infrastructure; estimation of consequences of natural disasters or terrorist attacks to critical infrastructure; application of engineering technologies or tools to enhance DHS' ability to prepare, predict, and minimize or prevent damage to critical infrastructure from natural hazards. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Computer Science, Economics, Engineering, and Physics.

S&T Division: Infrastructure Protection & Disaster Management

DHS COE: Coastal Hazards Center, University of North Carolina, Chapel Hill; Jackson State University

<http://hazardscenter.unc.edu/>

<http://www.jsucoec.org/>

<http://www.jsuums.edu/cset/or/centers/centndciem.htm>

15. **Risk, Economics, and Decision Sciences:** applications of advanced methods and techniques to support decision making; quantitative analysis. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Biology, chemistry, Agriculture, Computer Science, Economics, Mathematics, and Engineering.

DHS Division: Operations Research

DHS COE: Risk and Economic Analysis of Terrorist Events at the University of Southern California

<http://create.usc.edu/>

16. **Social and Behavioral Sciences:** social and behavioral analyses of terrorist threats; community preparedness, response and recovery from catastrophic events; economic assessments of terrorism and catastrophic events; and economic and mathematical decision models of terrorist behavior. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Engineering, Health Sciences, Economics, and psychology.

S&T Division: Human Factors/Behavioral Sciences

DHS COE: Terrorism and Responses to Terrorism at University of Maryland;
Risk and Economic Analysis of Terrorist Events at the University
of Southern California

<http://www.start.umd.edu/start/>

<http://create.usc.edu/>

17. **Transportation Security:** applications of advanced methods and techniques to support decision making; quantitative analysis; improving the Nation's preparedness in the event of a high consequence natural or man-made disaster, and developing best practices to alleviate the event's effects. The following are HS-STEM disciplines that could be necessary to support research associated with this DHS S&T area: e.g. Chemistry, Computer Science, Engineering, Mathematics, Physics, Economics, and Business Supply Chain.

S&T Divisions: Infrastructure Geophysical; Explosives, Borders & Maritime

DHS COEs: Explosives Detection Mitigation & Response Northeastern
University;

<http://www.northeastern.edu/alert/>

Border Security and Immigration, University of Arizona, and
University of Texas at El Paso

<http://www.borders.arizona.edu/>

Center for Maritime, Island and Remote and Extreme Environment
Security (MIREES) - Stevens Institute of Technology and
University of Hawaii

<http://www.cimes.hawaii.edu/>

CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; DRUG-FREE WORKPLACE REQUIREMENTS AND LOBBYING

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 26, "Governmentwide Debarment and Suspension (Nonprocurement)" and "Governmentwide Requirements for Drug-Free Workplace" and 15 CFR Part 28, "New Restrictions on Lobbying." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant, or cooperative agreement.

1. DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 15 CFR Part 26, for prospective participants in primary covered transactions, as defined at 15 CFR Part 26, Sections 26.105 and 26.110 -

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

2. DRUG-FREE WORKPLACE REQUIREMENTS Alternate I. Grantees Other Than Individuals

As required by the Drug-Free Workplace Act of 1988, and implemented at 15 CFR Part 26, Subpart F, for grantees, as defined at 15 CFR Part 26, Sections 26.605 and 26.610 -

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's

workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about -

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to the Director, Office of Federal Assistance, Office of Federal Assistance and Management Support, HCHB Room 6054, U.S. Department of Commerce, Washington, DC 20230. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted--

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance: (Street address, city, county, state, ZIP code):

Check ☐ if there are workplaces on file that are not identified here.

Alternate II. Grantees Who Are Individuals

As required by the Drug-Free Workplace Act of 1988, and implemented at 15 CFR 26, Subpart F, for grantees, as defined at 15 CFR Part 26, Sections 26.605 and 26.610 -

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the Director, Office of Federal Assistance, Office of Federal Assistance and Management Support, HCHB Room 6054, U.S. Department of Commerce, Washington, DC 20230. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

3. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for persons entering into a grant, cooperative agreement or contract over \$100,000, or loan or loan guarantee over \$150,000, as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee

of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification(s).

NAME OF APPLICANT

AWARD NUMBER AND/OR PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE

DATE