

**The Department of Homeland Security
Notice of Funding Opportunity
FY2023 Scientific Leadership Awards
For Minority Institutions and other Minority Serving Institutions (MSI)**

All entities wishing to do business with the federal government must have a unique entity identifier (UEI). The UEI number is issued by the SAM system. Requesting a UEI (Sam.gov information can be found at: <https://sam.gov/content/entity-registration>.

Grants.gov registration information can be found at:
<https://www.grants.gov/web/grants/register.html>.

1. Planned UEI Updates in Grant Application Forms

On April 4, 2022, the Data Universal Numbering System (DUNS) Number was replaced by a new, non-proprietary identifier requested in, and assigned by, the System for Award Management (SAM.gov). This new identifier is the Unique Entity Identifier (UEI).

Additional Information can be found on Grants.gov:

<https://www.grants.gov/web/grants/forms/planned-uei-updates.html>

A. Program Description

1) Issued By

Department of Homeland Security (DHS) Science & Technology Directorate (S&T)
Office of University Programs (OUP)

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

97.062

3) Assistance Listings Title (formerly CFDA Title)

Scientific Leadership Awards (SLA)

4) Funding Opportunity Title

2023 DHS SLA for Minority Serving Institutions (MSI)

5) Funding Opportunity Number

DHS-23-ST-SLA-001

6) Authorizing Authority for Program

Homeland Security Act of 2002, Section 308, Public Law 107-296, 6 US Code 188(b);
182(10)

7) Appropriation Authority for Program

\$4,339,000.00 from Consolidated Appropriations Act 2021, Pub. Law No. 116-260, Division F, Title IV, Research Development, Training and Services, Science and Technology Directorate Research and Development

\$4,661,000.00 from Consolidated Appropriations Act 2022, Pub. Law No. 117-103, Division F, Title IV, Research Development, Training and Services, Science and Technology Directorate Research and Development

8) Announcement Type

New

9) Program Overview, Objectives, and Priorities

DHS S&T Office of University Program (OUP) is requesting applications for the SLAs from accredited U.S. colleges and universities defined as minority institutions and other minority serving institutions by § 365(3) of the Higher Education Act (HEA) (20 U.S.C. § 1067k (3)). Awarded institutions will:

- a) Provide opportunities for students and faculty to engage in research projects addressing Homeland Security (HS) research areas.
- b) Consistently engage with DHS S&T and the DHS Centers of Excellence (COEs) to ensure that the program is effectively building the next generation workforce that will support the Homeland Security Enterprise (HSE).
- c) Develop innovative programs to experiential learning activities with government, academia, and the private sector for students studying science, technology, engineering, and mathematics (STEM) and faculty.
- d) Engage with community colleges to identify the academic strengths of their local MSI communities and promote pathways toward STEM degree completion and transition from 2-year to 4-year institutions.

Based upon the [Department of Homeland Security's Strategic Plan for Fiscal Years 2020-2024 | Homeland Security \(dhs.gov\)](#), the SLA program mission objectives are:

- Objective 1: Recruit 2-year and 4-year postsecondary students to participate in opportunities to apply classroom knowledge to HS challenges through experiential learning.
- Objective 2: Build MSI research capacity in HSE topics and foster their ability to compete for ongoing funding and development.
- Objective 3: Develop and maintain a highly qualified, diverse, and reflective student population equipped to support the DHS mission.
- Objective 4: Work towards developing innovative approaches and effective solutions to challenges faced by the HSE.

Through the SLA program, S&T aims to support the ability of MSIs to learn techniques, build capacity, and connect with various organizations conducting business in or directly supporting HS mission areas. These institutions will enhance STEM programs to increase the pool of culturally, geographically, and ethnically diverse multidisciplinary job applicants who possess highly desired skills and competencies in areas of critical needs to the HSE. Operational topics of interest, as related to the scientific domains of

the HSE, include but not limited to: applied qualitative and quantitative analysis; arctic domain awareness; border security, trade, and immigration, countering biothreats in supply chains; cybersecurity, infrastructure protection and resilience; quantum computing, artificial intelligence and machine learning; law enforcement investigations; maritime domain awareness; natural hazards and resilience; homeland security technology transition; transportation security and screening; and terrorism prevention.

10) Performance Metrics

DHS S&T will monitor SLA awarded programs for compliance with award terms and conditions. Recipients must effectively monitor financial, performance, and administrative progress through annual, biannual, and quarterly reporting requirements.

DHS S&T will conduct biennial reviews in coordination with the Principal Investigator (PI) and grant recipient team. DHS will use the reviews to guide future decisions about continued project investment. Following these reviews, some projects or topics may be discontinued or replaced. In such cases, funding will be reallocated to a different priority beneficial to DHS.

The following information will be reviewed during quarterly reporting:

- Status of research project(s) relative to proposed timeline
- Status of student progress relative to proposed timeline
- Upcoming events planned, scheduled, and confirmed

In addition to reports identified in the terms and conditions, programs must provide DHS S&T OUP the following information regarding MSI activities on an annual basis:

- Amount and types of software developed (algorithms, prototypes, models deployed, etc.)
- Amount and types of publications (peer reviewed, non-peer reviewed, presentations, congressional testimony)
- Amount and types of intellectual property developed (Patents issued, Copyrights registered, Trademarks registered)
- Number of students enrolled or participating in institutional developed education programs (Full/part time, Online/distance learning, DHS Professionals, Internship Enrollees, Scholarship Recipients, Ethnicity)
- Timeline to completion (including any proposed R&D, programs, student progress, events)
- Number of education programs developed by the recipient (Courses, Degree programs, Certificates, Internship programs)
- Total number of offers of employment to current and former students vs. the actual number hired
- Number of students graduated
- Number of workshops conducted in HS-related subject areas

- Number of students recruited from community colleges to participate in research
- Number of student placements in an internship programs related to HS
- Number, type, and current status of requests for assistance or advice from DHS
- Number, type, and current status of requests for assistance or advice from other Federal (non-DHS), state, and local government entities
- Amount, sources, and duration of follow-on funding from other sources
- Completion of the Performance Metrics table below:

Performance Metrics

GOAL	METRIC	MEASURE	BENEFIT
Develop the capabilities of Minority Serving Institutions (MSIs) in homeland security related research	<List DHS-related research areas>	<List the number of early career faculty, senior faculty, scholarship recipients, and interns participating in this DHS R&D related research>	To contribute innovative approaches and effective solutions to COEs, local, state, & federal government
Work with DHS and other stakeholders to identify the critical knowledge and technology gaps that MSIs can address	<List the number of planned collaborative efforts and engagements with COEs, local, state, & federal government>	<List engagement types: webinar, workshop, training, etc.>	To increase the collaboration and communication between COE's, local, state, federal government, & MSIs
Build capacity for MSIs	<List the number of pathways or programs developed for MSI students>	<List the number of students enrolled for each>	Increasing MSI Accessibility
Build pathways between 2yr & 4yr Institutions	<List the number of planned collaborative efforts and engagements between 2-year and 4-year institutions>	<List the number of students transitioning from 2yr-4yr schools>	To develop innovative pathways for student transfers and success
Diversify student STEM enrollment	<List the number of students enrolled by disciplines & demographics>	• Ethnicity • Locality • Area(s) Of Study	Contributes to the diversity of the future workforce

This information will allow DHS to track the efficiency and effectiveness of the SLA grant.

B. Federal Award Information

- 1) **Available Funding for the NOFO:** Up to \$1,000,000 per award recipient
- 2) **Projected number of awards:** Potentially, nine or more depending on proposal budgets
- 3) **Period of Performance:** Up to 72 months from start date

An extension to the period of performance is permitted up to 12 months; please refer to Section H for additional information.

4) Projected Period of Performance Start Date(s): 3/23/2023

5) Projected Period of Performance End Date(s):

- a. Phase 1: 3/23/2024**
- b. Phase 2: 3/23/2025**
- c. Phase 3: 3/23/2026**
- d. Phase 4: 3/23/2027**

6) Funding Instrument Type: Cooperative Agreement

S&T will have substantial involvement with the awardee and shall perform the following activities to ensure successful achievement of proposal goals:

- S&T shall review and approve each stage of work before the recipient can begin a subsequent stage during the period covered by the award.
- S&T shall closely monitor the awardee works and reserves the right to direct or redirect the work because of interrelationships with other projects.
- S&T reserves to the right to halt an activity immediately if detailed performance specifications or requirements are not met.

C. Eligibility Information

1) Eligible Applicants

- a. Private institutions of higher education**
- b. Public & State-controlled institutions of higher education**

2) Applicant Eligibility Criteria

Successful applicants will be from Historically Black Colleges and Universities (HBCUs) and Tribal College or Universities (TCUs) and other minority serving institutions to include Alaska Native-Serving and Native Hawaiian-Serving Institutions (ANNHs), Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs), Hispanic Serving Institutions (HSIs), Native American-Serving Nontribal Institutions (NASNTI), Predominately Black Institutions (PBIs) as defined by § 365(3) of the Higher Education Act (HEA) (20 U.S.C. § 1067k (3)). Institutions must possess the capability to develop an enduring program of undergraduate education and relevant HSE research and development. Institutions must also be able to partner with a community college to provide research experience to its faculty and students, the capability to develop a pathway for students to transition from 2-year to 4-year degrees in HS-related fields, and the means to collaborate with existing DHS COEs.

Proposals may be submitted only by accredited ANNH, AANAPISI, HBCU, HSI, NASNTI, PBI, or TCU academic institutions in the U.S., its territories or possessions,

and the Commonwealth of Puerto Rico; these institutions must award bachelors' degrees in STEM fields. DHS will only fund one award to an eligible institution.

3) Other Eligibility Criteria Early Career Faculty Members

Proposals must include significant involvement of early-career faculty with interest in HSE and connectivity to DHS operations or partners. Faculty should be empowered to develop courses and curricula pertinent to HSE operations, research focused internship opportunities, or other programs to advance the capabilities of the institution in HS research. Additionally, early career faculty members are encouraged to become involved in HSE-related research projects. Opportunities to collaborate with other researchers at COEs, Federally Funded Research Development Centers (FFRDCs), the private sector or other HSE research partners that are involved in the development of technologies, research, and other scientific contributions related to the HS mission should be provided to early career faculty members.

Early-career faculty (also referred to as young investigators or junior faculty) should have received their Ph.D. or Masters' Degree within seven years prior to the application deadline and be no more than five years in their current position. Supported early-career faculty must commit to the grant recipient institution for the duration of the award.

Institutions that do not have qualified early-career faculty, but plan to attract them, must have them under contract by the time of award and submit the required letter of departmental support. Other faculty may be included in the proposal as well. However, the early career faculty must have a significant financially compensated role in the proposal. Since researchers are vetted employees of their respective institutions, they are not required to be US citizens.

4) Cost Share or Match

Voluntary: Cost share will not be considered as part of the scoring criteria.

D. Application and Submission Information

1) Key Dates and Times

- a. **Anticipated Application Start Date:** 11/04/2022
- b. **Anticipated Application Submission Deadline:** 1/04/2023 at 11:59:59 PM EDT
- c. **Anticipated Funding Selection Date:** 3/04/2023
- d. **Anticipated Award Date:** 3/23/2023
- e. **Other Key Dates:**

Late applications will not be accepted

Event	Suggested Deadline for Completion
Obtaining UEI Number	Four weeks before actual submission deadline: 12/07/2022
Obtaining a valid EIN	Four weeks before actual submission deadline: 12/07/2022
Updating SAM registration	Four weeks before actual submission deadline: 12/07/2022

Informational webinar for interested applicants	11/29/2022, at 2 PM EST 12/09/2022, at 11 AM EST
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2) Agreeing to Terms and Conditions of the award

By submitting an application, applicants agree to comply with the requirements of this NOFO and the terms and conditions of the award, should they receive an award.

3) Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants.” To obtain the application package, select “Download a Grant Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package. For a hardcopy of the full NOFO, please email a request to:

Stephanie Dawkins

Grants Officer

Stephanie.Dawkins@hq.dhs.gov

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice is: 1-800-518-4726 (Grants.gov Help Desk).

Applications will be processed through the Grants.gov portal.

Information Session

DHS will conduct information sessions for interested applicants:

November 29, 2022@2:00 PM EST

December 09, 2022@11 AM EST

Microsoft Teams

During the call, DHS will discuss the NOFO and provide an opportunity for interested applicants to ask questions. Session Q&As will be posted on www.grants.gov for future reference. Login details will be provided on www.grants.gov.

4) Steps Required to Submit an Application, Unique Entity Identifier, and System for Award Management (SAM)

To apply for an award under this program, all applicants must:

- a. **Have an account with <https://login.gov/>**
- b. **Register for, update, or verify their SAM account and ensure the account is active and Employer ID Number (EIN) before submitting the application.**
- c. **Create a Grants.gov account.**
- d. **Add a profile to a Grants.gov account.**
- e. **Establish an Authorized Organizational Representative (AOR) in Grants.gov.**
- f. **Submit (if applicable, add: an initial) application in Grants.gov.**

- g. (If applicable) Submit the final application in the <insert applicable system>.
- h. Continue to maintain an active SAM registration with current information, including information on a recipient's immediate and highest-level owner and subsidiaries, as well on all predecessors that have been awarded a federal contract or grant within the last 3 years, if applicable, at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency.

Applicants are advised that DHS may not make a federal award until the applicant has complied with all applicable SAM requirements. Therefore, an applicant's SAM registration must be active not only at the time of application, but also during the application review period and when DHS is ready to make a federal award. Further, as noted above, an applicant's or recipient's SAM registration must remain active for the duration of an active federal award. If an applicant's SAM registration is expired at the time of application, expires during application review, or expires any other time before award, DHS may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

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

5) Electronic Delivery

DHS is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS encourages or requires applicants to submit their applications online through Grants.gov, depending on the funding opportunity.

6) How to Register to Apply through Grants.gov

- a. *Instructions:* Registering in Grants.gov is a multi-step process. Read the instructions below about registering to apply for DHS funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.
- b. The registration process can take up to four weeks to complete. Therefore, registration should be done in enough time to ensure it does not impact your ability to meet required application submission deadlines.
- c. Organizations must have a Universal Entity Identifier (UEI) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this grant funding opportunity, then you may begin with step 3, Create a Grants.gov account, listed below.
- d. Creating a Grants.gov account can be completed online in minutes, but SAM registration may take several weeks. Therefore, an organization's registration should be done in enough time to ensure it does not impact the entity's ability to meet required application submission deadlines. Complete organization instructions can be found on Grants.gov here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>

- 1) **Register with SAM:** All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. Organizations will be issued a UEI number with the completed SAM registration.

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>.

- 2) *Create a Grants.gov Account:* The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>
- 3) *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all your grant applications. To add an organizational profile to your Grants.gov account, enter the UEI Number for the organization in the UEI field while adding a profile.

For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

- 4) *EBiz POC Authorized Profile Roles:* After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role.

For more detailed instructions about creating a profile on Grants.gov, refer

to: <https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

- 5) *Track Role Status:* To track your role request, refer to: <https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>
- 6) *Electronic Signature:* When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; *this step is often missed, and it is crucial for valid and timely submissions.*

7) How to Submit an Application to DHS via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each NOFO, you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- a. *Create a Workspace:* Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- b. *Complete a Workspace:* Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
- c. *Adobe Reader:* If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

- d. *Mandatory Fields in Forms:* In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
- e. *Complete SF-424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and UEI number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.
- f. *Submit a Workspace:* An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24- 48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- g. *Track a Workspace Submission:* After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted

workspace.

For additional training resources, including video tutorials, refer to:

<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

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

8) Timely Receipt Requirements and Proof of Timely Submission

- a. *Definition.* The term “deadline” shall mean the latest time or date by which an application will be accepted.
- b. *Online Submission.* All applications must be received by **11:59:59 PM Eastern Time** on the due date established for each program. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When DHS successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, the official date and time that Grants.gov receives your application constitutes proof of timely submission.

Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by DHS.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

- c. As application submission is a two-step process, the applicant with the Authorized Organizational Representative (AOR) role who submitted the application will receive an acknowledgment of receipt, a tracking number (GRANTXXXXXXXX) from Grants.gov, and *[insert DHS FAO's tracking number or information]* with the successful transmission of the initial application. This notification does not serve as proof of timely submission as the application is not complete until it is submitted in *[DHS FAO's system]*. All applications must be received in *[DHS FAO's system]* by deadline.

9) Content and Form of Application Submission

a. SF424 (R & R) Application for Federal Assistance (SF424-V2.0)

Please complete the SF424 form in its entirety. If you fill this form out first, other required forms will populate with basic data such as name, address, etc. Signature and date will auto-fill when you submit the application package through Grants.gov. Please note the following supplemental instructions:

1. Block 1, Type of Submission—Please check “Application”
2. Block 8, Type of Application—Please check “New”
3. Block 12, Proposed Program—Please provide the start and end dates for your program
4. Block 15, Total Estimated Program Funding—This amount should correspond to your budget justification and the Budget form's total for the requested budget period.
5. Block 16 (E.O. 12372 review question)—Please contact your State Single Point of Contact (SPOC) to determine whether you are required to submit this noncompeting continuation application for review, and then check the appropriate box in Block 19. Find your State SPOCs: <https://www.whitehouse.gov/wp-content/uploads/2019/02/SPOC-February-2019.pdf>
6. Regarding Block 17—By submitting this application, your organization is providing certifications and assurances regarding:
 - Drug-Free Workplace Requirements
 - Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions

Information regarding the certifications on Drug-Free Workplace, Debarment, Suspension, and Other Responsibility Matters is attached for your reference as Attachment A.
7. If you are requesting Indirect/Fringe Costs, please attach your indirect cost rate agreement, fringe benefit rate agreement, or a description of how fringe rates are

calculated, using the “Add Attachments” button at the end of the SF424 form.

b. Budget Information, Non-Construction Programs (SF424A-V1.1)

Filling out the Budget Form—Please ensure that funds requested on the Budget Form correspond to the same items in your budget justification and that the total requested corresponds to Block15 on the SF424 form. Applicants must complete a budget for each year. 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 Item K on this form.

Budget Justification File(s)

1. Budget detail is required at the Recipient level for the entire proposed program period (5 years). In addition to the following cost category justifications, please provide the basis for your calculation for the required 50% for direct support of students. Recipients may not make individual scholarship awards greater than full tuition and mandatory nonrefundable fees. Students must also receive the equivalent of at least half of their full tuition. The undergraduate stipend may not exceed \$3200 a month. Stipends are not permitted if a paid internship can be arranged through external means. The graduate stipend may not exceed \$4,000. Again, stipends are not permitted if a paid internship can be arranged through external means. Student must receive a monthly stipend appropriate to the geographic region. Students must receive the stipend if an unpaid internship is secured during summer months.

a. Budget detail is required for the following:

i. *PERSONNEL*: Costs of employee salaries and wages.

Justification: Identify the program director or PI, if known. For each staff person, provide the title, time commitment to the program (in months), time commitment to the program (as a percentage or full-time equivalent), annual salary, grant salary, and wage rates, etc. Do not include the costs of consultants in this category.

ii. *FRINGE BENEFITS*: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate. Provide the calculation method for fringe rates and amounts. If a fringe rate agreement has been negotiated with a cognizant Federal agency, provide it. If no agreement exists, provide the amounts and percentages of all items that comprise the fringe rate, and the basis for allocation.

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. *TRAVEL*: Travel is limited to program personnel and students receiving support under this program. Provide the costs of program-related travel. Travel costs must not include costs of subcontractor travel.

PIs will be expected to budget for and participate in the following meetings:

- An annual meeting of all participants in the DHS COE Summit, or an equivalent all-PI meeting
- Meetings with COE research collaborators, laboratory personnel, and other HS agency representatives who may be helpful in to developing student internships, etc.

Students supported under the SLA must attend at least one DHS COE Summit or equivalent all-PI meeting during their tenure. Travel to other technical or scientific conferences is strongly encouraged.

Justification: For each proposed trip, provide the purpose, number of travelers, travel origin and destination, number of days, and a breakdown of costs for airfare, lodging, meals, car rental, and incidentals. The basis for the airfare, lodging, meals, car rental, and incidentals must be provided, such as past trips, current quotations, Federal Travel Regulations, etc. 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 may be allowed under special circumstances. However, foreign travel requests must be submitted at least 60 days before the event and approved by DHS in advance and in writing.

iv. *EQUIPMENT*: If equipment or instrumentation is necessary to complete the proposed research, it must be budgeted in the first 12-month period. Equipment is defined here as any article of nonexpendable, tangible personal property having a useful life of more than 1 year and an acquisition cost which equals or exceeds the capitalization level established by the organization financial statement purposes.

Note: acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation must be included in or excluded from acquisition cost in accordance with the organization's regular written accounting practices.

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

Furthermore, provide a rationale for each item of equipment/instrumentation

requested in the budget. Describe how each item will contribute to achieving the goals of the proposal and enhancing the educational and/or research capabilities of the institution. Describe how the proposed equipment/instrumentation will interface with existing facilities or upgrade other equipment currently available. As applicable, but in very rare circumstances, indicate (1) any special circumstances regarding the installation of the equipment (For example, will installation require minor plumbing or electrical upgrades? If so, this should be budgeted); (2) Preventative maintenance plan comes with the purchase of the equipment; and (3) training is provided at the time of installation or shortly thereafter.

Note: All funds requested for equipment (including computers) or laboratory supplies will undergo intense scrutiny and must be accompanied by a compelling justification stating that the expense is explicitly required for the proposed program(s) and related curriculum and will not be used for any other education and training outside the project. Equipment requests must be necessary, appropriate and reasonable.

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

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

vi. *CONTRACTUAL*: Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, etc.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition.

Recipient may be required to make pre-award review and procurement documents available to DHS, including request for proposals or invitations for bids, independent cost estimates, etc. This may include procurements expected to exceed the simplified acquisition threshold fixed at 41 USC 403(11) (currently set at \$100,000) and expected to be awarded without competition or only one bid or offer is received in response to a solicitation.

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

vii. *OTHER DIRECT COSTS*: For any other items proposed as direct costs, provide an itemized list with costs, and state the basis for each proposed item.

viii. *INDIRECT COSTS*: Provide a copy of the latest rate agreement negotiated with a cognizant Federal agency. If the applicant organization is in the process of initially developing a rate, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year. Otherwise, use the existing rate until replaced. This should be in accordance with the cognizant agency's guidelines for

establishing indirect cost rates and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the award. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

c. Certification Regarding Lobbying (GG_Lobbying Form-V1.1)

Submit this form. It will be electronically signed upon submission to Grants.gov as part of your application. 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.

d. Research and Related: Senior/Key Personnel Profile

Applicants must complete a profile for the PI(s) as well as other Senior Key Personnel, to include the early career faculty, identified for the program. Provide a biographical sketch for each senior/key person that include education and research activities and accomplishments and each individual role in the proposed program. *Each biographical sketch may not exceed two pages. Biographical sketches should be single-spaced using size 12 Times New Roman font.*

1. Results from Prior DHS Support

If any PI or co-PI identified on the project has received DHS funding (including any current funding) in the past ten years, information on the award(s) is required, irrespective of whether the support was directly related to the proposal or not. In cases where the PI or co-PI has received more than one award, they need only report on the one award most closely related to the proposal. Funding includes not just salary support, but any funding awarded by DHS. The following information must be provided: (a) the DHS award number, amount, and period of support; (b) the title of the project; (c) a summary of the results of the completed work, including accomplishments, supported by the award. The results must be separately described under two distinct headings, Intellectual Merit and Broader Impacts; (d) the publication(s) resulting from the DHS award; and (e) evidence of research products and their availability, including, but not limited to: data, publications, samples, physical collections, software, and models, as described in any Data Management Plan.

e. Research and Other Related Project Information

Applicants must complete the Other Project Information Form, which includes information regarding use of human subjects, use of animal subjects, and proprietary information, among other things. *Tips: Write for a general audience and avoid use of scientific jargon to the extent possible. Please define any technical terminology that is discipline-specific. Be concise and direct in descriptions.*

1) The Program Summary. Provide a summary description of the program including:

- a. Objectives of the program
- b. Problem statement
- c. Articulation of state of the art
- d. Program management approach
- e. Program performance targets and methods for measurement
- f. Examples of potential results and how those results may benefit HSE
- g. Technology transfer and transition pathways

Applicants must have an academic and workforce development program with research opportunities within their proposal.

Attach the summary/abstract to Item 7 on the Other Program Information form.

- 2) **The Program Description/Narrative.** The Program Description/Narrative section should contain a well-argued and specific proposal for activities and approaches that will build enduring capabilities for years of contributions to integrated HSE research and educational activities. The Program Description/Narrative should be developed in consultation with the intended recipient of the early-career award, the intended community college partner, and the relevant department head or equivalent organizational official.

The Program Narrative is limited to 30 single-spaced pages with 12-point Times New Roman font and one-inch margins. Applicants must adhere strictly to the page limits. This 30-page limit applies to items (4) through (9) noted below, which must be included in the Program Description portion of your application. The Program Narrative should use this order and these subtitles. An application that does not include each required element listed in this section, using the headers provided and/or is more than 30 pages long will be deemed non-responsive and will not be considered.

- 3) **Objectives.** Proposals should clearly articulate program objectives, approaches, and planned outcomes with respect to faculty development and academic achievement; student recruitment, retention, degree conferral, and career placement of students; program monitoring guidelines; and how outcomes will be measured. Proposals should demonstrate a solid grounding in relevant literature on the HS mission areas and strategic plans, STEM education and work-based learning. Describe the conceptual basis and unifying aspects of the interdisciplinary research and educational activities to be offered.

Applicants should propose programs lasting up to five (5) years with total budgets up to \$1,000,000.00. Subsequent to the first year, program funding is dependent on successful performance in the prior year, the relevance of program outcomes to current HS research priorities, and availability of funds. Multi-year research projects should provide a summary of their: long-term vision, result oriented goals, milestones, performance measures, research and education outcomes, technology transfer or transition pathway, and potential real-world applications.

Applicants must also summarize communication and transition plans that outline how any

potential partner will implement its program(s) and how they will be transitioned to user groups. Elements of the plan may include: identification of potential user groups; description of how those groups currently integrate new approaches, knowledge, and technologies into operations; and a description of how the research results will be transitioned to DHS and other Federal and state agencies.

4) Program Plan(s):

A successful SLA proposal will incorporate the following elements:

Program Information:

- Title of Program
- Program Abstract
- Principal Official (name, title, school)
- Other key technical and program personnel supporting intellectual property and administrative tasks (name, title, school/business)
- Significant Partners and their roles

Goals and Objectives:

- Describe the goals and objectives that the Program seeks to achieve.
 - Align goals to:
 - **DHS Strategic Plan FY20-24** (link: https://www.dhs.gov/sites/default/files/publications/19_0702_plcy_dhs-strategic-plan-fy20-24.pdf)
 - **DHS Quadrennial Homeland Security Review** (link: <https://www.dhs.gov/sites/default/files/publications/2014-qhsr-final-508.pdf>)
- Include a Problem Statement that articulates and cites information expressing DHS' workforce needs and how the proposed program will address those gaps.
- Provide a summary of the state of the art and describe the approaches and processes which will enable the Program to achieve its outlined goals and objectives.

Education Program Highlights:

- Summarize the financial support which will be provided for undergraduate and/or graduate students via internships or other experiential learning programs.
- Describe the program(s) that will be developed to provide pathways towards degrees, certifications, and other HS-relevant qualifications.

Research Projects Highlights

- Summarize planned research projects whose completion will augment the abilities of DHS to respond to HS challenges.
- Describe how both students and faculty will be embedded with HS practitioners to conduct research and foster opportunities for students to gain practical experience in HS-related professions.
- Identify existing partnerships with community colleges to provide research experience and financial support to students specifically supporting HS priorities.

5) Education and Training

Describe the program and training opportunities which will be provided upon acceptance of the proposal submitted. This includes qualities such as the following, but are not limited to them:

- Curricula and/or supplemental activities that complement existing coursework, which will be developed in domains relevant to HSE
- Total number of students that the program can support
- Summary of education and training mechanisms for both students and active workforce participants
- Strategy for recruitment and retention of HS-STEM students
- Planned and existing partnerships with internship-providing organizations to increase career prospects of enrolled students
- Planned partnerships with other MSIs to broaden the diversity of the student body and workforce
- Outline of plans to assist students transitioning between 2 and 4-year academic programs
- Description of early-career faculty exchange and collaboration including length of partnerships and other details

6) Academic Research Opportunities. Provide an overview of the research projects that this proposal would develop to provide relevant experience to faculty and students while producing outcomes which will strengthen the HSE. Qualities to be considered include, but are not limited to:

- Abstracts of proposed research projects, including problem statements and hypotheses, research methods, data needs, other specialized infrastructure needs, program risks, program assumptions, and HSE relevance
- Outcomes and or products that research projects will successfully materialize
- Technology development and transfer plans on intellectual property to move research products from the institution to being leveraged by DHS and other stakeholders
- Strategies to integrate students and faculty with interest in HS-STEM into these research projects
- Sustainment plans that accommodate the turnover of faculty and students involved in SLA research projects
- Overview of any plans for academic partnerships with justification for how the partnership will benefit the SLA

Note: Recipients should identify priority needs using DHS S&T's [DHS Long-Range Broad Agency Agreements \(BAA's\) webpage](#).

7) Organization, Management, and Institutional Commitment. Describe plans and procedures for the organization and management of the program. Discuss the institutional or departmental obstacles anticipated in implementing your program and how the institution and program director plan to address them. Describe the institution's

commitment to facilitating and furthering the plans and goals of the program and to creating a supportive environment for integrative research and education. Describe the administrative levels involved.

8) Performance Assessment and Program Evaluation. Proposals must include an evaluation plan that will be used by the institution to evaluate success in meeting its stated goals and objectives. This plan should include measurable criteria such as:

- Projections of the number of recruited and funded students within an academic year vs. the actual number of recruited and funded students
- Projection of students placed in HS-related internships vs. number of students placed in HS-related internships
- Early-career faculty professional development metrics
- Planned co-curricular activities that increase student motivation and persistence in HS-STEM disciplines
- Planned collaborative efforts between 2-year and 4-year institutions to develop innovative pathways for student transfers and success
- Projected research projects engaging early career faculty and students vs. number of relevant research projects Recipients should identify priority needs using DHS S&T's DHS Long-Range Broad Agency Agreements (BAA's) webpage
- Intellectual property generated
- New partnerships developed with private sector entities and with government offices
- Identification of common elements across disciplines, programs, institutions, or systems that support students from underrepresented groups to be successful in HS-STEM
- Workshops, webinars, or conferences hosted and/or attended
- Collaboration efforts with DHS COEs to enhance partnerships between institutions
- Please describe other critical outcomes or outputs that the awardee plans to track to determine if goals are achieved and what results from the funding, and in particular how equity is achieved. Please also describe any program evaluations that you may already be participating in.

9) Integration with relevant Centers of Excellence (COEs) or other HSE Research Collaborators. Describe existing and proposed collaborative agreements with any COE HSE researchers and how the collaboration will function. Specifically describe activities and projects that will be conducted as well as communication and research integration plans. Other details may include mentorship plans as well as early career faculty and student research opportunities. Discuss how these collaborations will fulfill the DHS objective to leverage STEM students to support the growing need for HSE scientific and technical professionals.

10) References. Provide references in support of both the research and educational priorities of the proposed program. This includes the following, which are all in addition to the 30-page narrative. Please attach these items to item 11 of the Research and Other Related Program Information form.

a. Letter or Statement of Support from COEs or HSE Research Collaborators (three page maximum)

This letter will describe the tentative and confirmed ways that the collaborating researchers will work with and support the development of early-career faculty and students. Details will include plans to integrate these groups into research and education opportunities throughout the period of the award and beyond.

b. Departmental Letter (one page maximum)

- DHS requires that the academic institution provide support for early-career faculty who will initiate HS-STEM education and integrate HS-STEM research and education. This integration of research and education requires close collaboration between early career faculty investigators and their organization throughout the award. The proposal must include one letter from the department head (or equivalent organizational official) of the intended recipient(s) of the award. The letter, which will be considered as part of the overall merit of the proposal, should demonstrate an understanding of and a commitment to the effective integration of HS-STEM research and education as a primary objective of the award. A letter that fails to acknowledge institutional commitment to the professional development and mentoring of the intended recipients of the award may disadvantage an otherwise outstanding proposal.
- The departmental letter should be a maximum of one page in length and must be signed by the head of the department of the intended recipient of the award (or equivalent organizational official). The official's name, title, email address, and date must appear in the letter. The letter should contain the following elements:
 1. An indication that the activities of the faculty members supported by the MSI through this grant are well supported by and integrated into the educational and research goals of the department and the organization with which they are affiliated
 2. A description of: a) the relationship between the proposed program, the early-career faculty's career goals and job responsibilities, and the goals of his or her department/organization; and b) the ways in which the department head (or equivalent) will ensure the appropriate mentoring of the intended recipient of the early-career award, in the context of their career development and his or her efforts to integrate research and education throughout the period of the award and beyond

c. Institutional Commitment (one page maximum). Describe the commitment that the degree-granting institution will make to facilitate and advance program plans and goals to create a supportive environment for proposed HS-STEM education and research programs/projects. Describe any existing programs at the institution to foster the development of junior faculty and students in HS-STEM areas. Describe any plans

for collaborating with recruitment, retention, and professional development programs available at the institution to enhance the number of faculty and students involved in HS-STEM. Describe how these programs will be evaluated and monitored by your institution to ensure their success.

d. Other Attachments

- Letters or Statements of Support from partnering Community Colleges
- Indirect Cost Rate Agreement
- Negotiated Fringe Benefit Agreement, or, if no agreement exists, the amounts and percentages of all items that comprise the fringe rate, and the basis for allocation
- Certificate Regarding Lobbying

- e. Safety Information.** Use the *Attachments* form to include safety requirement information requested within the *Internal Review Criteria*. This safety requirement must be addressed by all applicants, particularly those involving potentially high-risk research (e.g., biological threats, food and agricultural security, explosives detection). This section should include a summary of any relevant laboratory and research safety requirements, as well as any other university resources which promote research safety. This section should provide detailed information on how the institutions will keep participating students and faculty safe when conducting research under an SLA.

11) Other Submission Requirements

To avoid submission errors you must ONLY CREATE, SAVE, & SUBMIT application in an Adobe Reader version compatible with Grants.gov.

Documents in applications packages 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 must use Adobe Reader. You must use a version of Adobe Reader compatible with Grants.gov. Adobe Reader is available from Grants.gov at no charge.
3. The applicant must have a UEI number to submit an application through Grants.gov. See the Grants.gov website for information on how to obtain a UEI 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 submission deadline.

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. DHS may request that applicants provide original signatures on forms later.

12) Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372.

(See <https://www.archives.gov/federal-register/codification/executive-order/12372.html>; <https://www.whitehouse.gov/wp-content/uploads/2019/02/SPOC-February-2019.pdf>).

13) Funding Restrictions

The applicant's initial submission must include a proposed budget. The budget may not include salaries or any other direct or indirect compensation for collaborators. Expenses that support the collaboration are acceptable (travel for visiting lectures, supplies, materials, etc.). Total collaboration support expenses cannot exceed 5 percent of the total program budget.

14) Allowable Costs

a. Management and Administration (M&A) Costs

M&A costs are not allowable by the recipient and sub-recipient.

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

Indirect cost (IDC) is allowable by the recipient and sub-recipients. Provide a copy of the negotiated rate approved by the applicant's cognizant agency at the time of application.

E. Application Review Information

1. Review and Selection Process

DHS S&T will use a two-phase review process to select the recipients of the DHS Scientific Leadership Award grant. The review phases are:

- External scientific quality review conducted by a panel of peers external to DHS
- Internal relevancy review conducted by a panel of DHS SMEs

These two evaluation phases are completed in sequence and are scored independently. Applications that do not meet the minimum rating at any point in the process do not move forward to the next phase and are not considered for final selection. Only the applications scoring above the minimum rating in phase 1 will advance to phase 2.

Each review phase is rated based upon unique criteria (e.g., scientific quality, relevance to DHS, management). A detailed description of each phase and associated criteria is provided below.

Note: All proposals will be the intellectual property of the applicants until a proposal is approved and an award is made. Additionally, the proposal will be incorporated by reference in the award.

2. Application Evaluation Criteria

a. Programmatic Criteria

DHS is fully committed to free and transparent competition among eligible entities. This includes using an objective application rating system and ensuring that any reviewers have no conflicts of interest.

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 reviewers will document and submit reviews to an unbiased third-party facilitator.
5. DHS makes all final funding decisions.

b. Financial Integrity Criteria

Prior to making a Federal award, the Federal awarding agency is required by 31 U.S.C. § 3321 note, 41 U.S.C. § 2313, and 2 C.F.R. § 200.205 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk-based considerations of the applicant:

- Financial stability
- Quality of management systems and ability to meet management standards
- History of performance in managing Federal award
- Reports and findings from audits
- Ability to effectively implement statutory, regulatory, or other requirements

Each panel will be comprised of a set of reviewers and will focus on the evaluation criteria as described in this section. For the external and internal reviews, a minimum of three subject matter experts will review each proposal and provide comments and ratings based on the relevant criteria. Each phase of the review process is scored separately. The weighting of each criterion is identified under each review phase.

Reviewers will consider the proposals in terms of strengths and weaknesses for each evaluation criterion. DHS will rate each criterion using the following scale: 1=Poor, 2=Fair, 3=Good, 4=Very Good, and 5=Excellent, as follows:

- | | |
|-----------------------|--|
| 1 (Poor): | Weaknesses far outweigh strengths |
| 2 (Fair): | Strengths and weaknesses approximately equal |
| 3 (Good): | More strengths than weaknesses |
| 4 (Very Good): | Many strengths and few weaknesses |
| 5 (Excellent): | Strengths far outweigh weaknesses |

The reviewers will provide comments regarding each criterion. For a criterion to receive a score of Good (3) or better, all factors within the criterion must be adequately addressed.

The proposal grade will be calculated for each reviewer by multiplying the weight by the whole number scaled score for each criterion, then by adding the weighted scores together to determine a final proposal score.

I. External Evaluation Criteria

This is the first phase in the review process. Applications not meeting the minimum threshold will not advance to the next phase.

DHS will conduct a scientific quality review of proposals by an external review panel of SMEs from academia, non-profit research organizations, industry, and/or Federal, state, or local agencies. The panelists will have expertise in varying topics in STEM and education disciplines.

The external review panel will consider only evaluation criteria and weightings identified in this NOFO that focus on the quality and influence of the researchers and proposed research and education programs, qualifications of personnel and suitability of facilities, and the appropriateness of research costs. Due to the anticipated number of proposals submitted in response to this NOFO, DHS will use a secure portal to execute the External Review for Proposals virtually.

The OUP Program Manager (PM) responsible for the MSI Portfolio serves as chairperson for the external review panel. His/her role is to summarize and convey results (including calculating mean and median ratings) to the Selection Manager (SM) for further consideration and to answer questions posed by review panelists. The chairperson does not rate the applications. However, the chairperson will serve in an advisory capacity to clarify aspects of the SLA program and selection process. In addition, the chairperson maintains order, ensures the absence of conflicts of interest, ensures that all panelists have completed and signed non-disclosure agreements, and ensures proper documentation of the review and rating of the applications. Finally, the chairperson ensures that all documentation is collected from the panel members and all proprietary information is destroyed at the conclusion of the

review.

A minimum of three reviewers will review each proposal thoroughly. With the exception of those deemed to have a conflict of interest, all reviewers have access to all proposals, although each reviewer is only assigned a subset of proposals for formal review. Reviewers will rate applications on a set of weighted criteria using numerical ratings of 1 to 5 (poor to excellent). All reviewers will enter their narrative reviews and their preliminary ratings for their assigned proposals into a secure web-based peer review database.

After all external reviewers have submitted their reviews through the secure web-based peer review database, the chairperson will organize the resulting scores and documents to identify proposals that meet or exceed the scores necessary to advance to the internal review. DHS does not seek reviewer consensus on a summary review, but rather expects a diversity of opinions. Each primary reviewer must sign off on each summary evaluation form to ensure his or her comments adequately reflect their evaluations.

For each proposal, DHS will calculate the mean and median rating for all reviewers to determine a final rating. DHS reserves the right to use either the mean or the median rating as the final rating for all applications. A minimum threshold level will be established for referral of applications from the external review phase. DHS will select the minimum threshold based on the ratings of applications for this funding opportunity. For example, if six applications are passed from the external review phase, three of which have a rating of 4.0 or higher in the external review phase, while the other three are less than 3.5, 4.0 will be the minimum threshold for passing applications to the internal review phase. If the rating—mean or median—is above the threshold established for the internal review phase, the application demonstrates both scientific quality and relevance. Under no circumstances will an application be considered if both the mean and the median overall ratings are below 3.0.

The following criteria will be used to evaluate proposal submissions as they relate to the DHS mission and homeland security related research areas identified in this NOFO. 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:

#	Criteria	Weight
1	Proposed research identifies state of the art, provides comprehensive problem statements and research methods and articulates contribution to the HSE	20%
2	Proposal demonstrates a sound education plan and the ability to establish a program for the relevant disciplines related to DHS's mission and educating the future workforce of the HSE.	15%
3	Proposed program incorporates academic rigor and qualified personnel who can enrich and teach homeland security disciplinary courses and incorporate examples of relevant homeland security issues and areas of research	15%

4	Well defined relationships exist with a DHS COE, DHS laboratories, related government agency research laboratories (e.g., Department of Energy), DHS operational offices (U.S. Citizenship and Immigration Services, United States Coast Guard, United States Customs Border Protection, Cybersecurity and Infrastructure Security Agency, Federal Emergency Management Agency, Federal Law Enforcement Training Center, United States Immigration and Customs Enforcement, United States Secret Service, and Transportation Security Agency), and external public and private partners to develop student understanding of HS careers and the role of technology in defending the nation	15%
5	Proposed program incorporates student development best practices and a plan for a successful transition of students from 2-year to 4-year institutions, undergraduate level to graduate school, and to relevant HS employment. Students must have access to appropriate mentors and other institutional support	15%
6	Proposed program demonstrates a sound plan for management of financial resources with effective and appropriate financial controls, and can manage the student scholarships and stipends selection and distribution processes that will be associated with this award	10%
7	Proposed program includes a sound approach for evaluating and reporting on program and student performance and success	5%
8	Proposed research and education costs are appropriate and reasonable	5%

II. Internal Evaluation Criteria:

Applications scoring above the minimum threshold in phase one, the external evaluation, will advance to the second phase, the internal evaluation. Scores received in the first phase are not factored in the second phase. The external evaluation phase functions as a discrete “down-select” of applications and are not considered into the final rating.

As soon as feasible following the conclusion of the external review, the SM convenes an Internal Review Panel of DHS SMEs and senior staff to review the proposals that received an acceptable mean or median ratings in the external review. All members of this panel will confirm that they have no conflicts of interests with respect to the finalists. The External Review Panel ratings carry the presumption that the applicant institutions have the capabilities required to establish a successful DHS SLA in the relevant topic area.

The Internal Review Panel will also focus on the mission-related significance of the proposal and how well they fit with DHS Federal, state, and local client needs. The Internal Review Panel also will describe perceived knowledge gaps in the subject area as a further basis for discussing during negotiations with selected institutions.

With the exception of those deemed to have a conflict of interest, all reviewers have access to all proposals, although they may only be assigned a subset of these proposals for formal review.

Reviewers will rate applications on a set of weighted criteria using numerical ratings of 1 to 5

(poor to excellent). Prior to the internal review meeting, all reviewers will provide their narrative reviews and ratings for their assigned proposals to the chairperson, or if a secure web-based peer review database is used, then they will enter their ratings directly into the online database. Narrative comments must support the numerical ratings.

After all internal reviewers have submitted their preliminary reviews to the chairperson, or through the secure web-based peer review database, an internal review panel meeting will be convened. At the meeting, panelists discuss proposals using the selected evaluation criteria described below. Primary reviewers and other panelists who have read the entire proposal may provide ratings for each proposal following these discussions.

For each proposal there will be three (3) reviewers. DHS will calculate the mean and median rating for all reviewers to determine a final rating. DHS reserves the right to use either the mean or the median rating as the final rating for all applications.

The following criteria will be used to evaluate proposal submissions as it relates to the DHS mission and should relate back to one of the homeland security related research areas identified in the NOFO. 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:

#	Criteria	Weight
1	Does the program describe a comprehensive sustainability plan to ensure the continuation of the program to support future HSE workforce?	15%
2	Does the proposal describe university/industry/government partnerships that will be leveraged to provide internship experiences, employment opportunities, or career mentorships for the institution's students?	20%
3	Is the program demonstrating continuing support for innovative ways to stimulate interest in homeland security research and education?	10%
4	Is the institution demonstrating commitment to establish meaningful partnerships with COE or HSE (public or private) research partners to develop quality MSI research and work based learning program?	10%
5	Are key leadership and management personnel demonstrating a significant time commitment to the success of the program?	5%
6	Is the program's leadership developing and implementing a meaningful long-range strategic plan, including communication and outreach goals based on best practices?	10%
7	Have the PI and institutional leadership established appropriate metrics to evaluate the performance and progress of their research and education activities?	5%
8	Does the applicant have a plan to ensure that students and early career faculty members have opportunities to work in HS settings?	10%
9	Does the plan incorporate information on the current workforce needs within the relevant HSE sectors?	5%

10	Has a fair, open, and comprehensive student recruitment and selection process been established?	10%
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F. Federal Award Administration Information

1. 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 NOFO package.

A DHS Grants Officer authorized to obligate DHS funding will execute a grant award. Unsuccessful applicants will be contacted as well and will be encouraged to apply for future grant award programs. Announcements for future programs will be listed at <http://www.grants.gov>.

Successful applicants can expect to receive a grant executed by a DHS Grant Officer authorized to obligate DHS funding. Award notices will be sent via email.

2. Administrative and National Policy Requirements

All successful applicants for DHS grant and cooperative agreements are required to comply with DHS Standard Terms and Conditions, which are available online at: [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made unless the application is for a continuation award. In that event, the terms and conditions in effect at the time the original award was made will generally apply. The terms and conditions that apply to the award will be clearly stated in the award package at the time of award.

3. Reporting

Annual Federal Financial Report. The Recipient must submit annual financial reports (SF 425, Federal Financial Report) to the DHS Grants officer within 30 days following the end of the reporting period. Reports may be emailed to DHS-GrantReports@hq.dhs.gov; include the grant program name and number in the subject line.

Federal Financial Reporting Requirements. The Recipient must submit the final Federal Financial Report (SF 425) to the DHS Grants Officer no later than 90 days after the Program Period end date. The FFR must be emailed to DHS-GrantReports@hq.dhs.gov, include the grant program name and number in the subject line.

Quarterly Federal Financial Reports (Cash Transactions). The Recipient must submit the FFR (SF425) Federal Cash Transaction Report to the Department of Health and Human Services, Payment Management System, SMARTLINK. Quarterly Cash Transaction reports must be submitted no later than 1/30, 4/30, 7/30, 10/30 each year.

a. Federal Financial Reporting Requirements

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

b. Programmatic Performance Reporting Requirements

The recipient must submit performance reports every six months to the DHS Grants Officer for review and acceptance by DHS as a condition for receiving further annual funding increments. The first Performance report is due six months after the start of each budget year and every six months following the first report. Performance Reports must provide a summary of the activities conducted during the budget period. Upload reports to Grantsolutions and include the grant program name and number in the subject line. Provide an additional copy of these reports to the DHS Program Manager.

- Performance reports must provide information on the overall progress of the program based on the activities discussed in the approved workplan. These reports should map workplan activities to those activities performed during the year to include:
 - Summary reports on the Program's strategic vision and support justification
 - Summary of Program's communication and outreach activities
 - Summary of Program's management efforts including decision making apparatus
 - Reports on each Program project, which should include:
 - Explanation of any changes from the initially approved workplan
 - Objective/Purpose
 - Baseline
 - Methodology
 - Project milestones
 - Performance metrics used to evaluate progress & assessments of current concept of operations and baseline/state of the art in use
 - Transition plans to include development steps, intellectual property management plans, & market specific considerations
 - Stakeholder engagement
 - Potential programmatic risk to completion
 - Progress against each milestone outcomes and outputs and explanation of why any items were not reached
 - Unanticipated problems and plans for addressing them; and
 - Information supported by data on how project outcomes will advance or impact current capabilities

- Budget information and expenditure (narrative and figures) categorized by both object class and project.
- Total number of students supported (differentiated between undergraduate and graduate), total number of students participating in research, total number of supported students who have graduated, total number of students still enrolled in program, total number of students that received job offers, total number of students hired full time in a HS related position, and total number of students participating in internships relevant to HS
- A student report, produced by the student, for each supported student including: student name, current status of student (graduated/enrolled), degree (masters, bachelors, PhD), major, dates of funding, total funding amount, description of complete internship/research experiences, workshops/conference attended, publications, presentations, poster sessions, other relevant accomplishments/success stories, and a copy of the student's resume. The student report must be no more than five pages, single-spaced and should summarize each student's experience under the funding received.

If the performance report contains any information that is deemed proprietary, the Recipient will denote the beginning and ending of such information with asterisks (***)

- **Final Performance Report.** The Recipient must Upload the Final Performance Report to Grantsolutions and the DHS Program Manager no later than ninety (90) days after the expiration date of the Program Period. The Final Performance Report must be submitted via Grantsolutions and must include the grant program name and number in the subject line.
 - The Final Performance Report must include:
 - Summary of research accomplishments and contributions, post-award activity and, and new skills or knowledge acquired
 - An executive summary and final summary abstracts for each sub-project across all years of the period of performance
 - Address the areas identified in the annual report section
 - Detail all results and a qualitative summary of the impact of those results throughout the period of performance

c. Additional Performance Reporting Requirements

All successful applicants for this award are required to comply with DHS S&T Project/Program Specific Terms and Conditions as stated below.

d. Closeout Reporting Requirements

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, recipients must submit the following:

- The final request for payment, if applicable;

- The final FFR (SF425);
- The final progress report detailing all accomplishments;
- A qualitative narrative summary of the impact of those accomplishments throughout the period of performance; and
- Other documents required by this NOFO, terms and conditions of the award, or other *DHS FAO* guidance.

If applicable, an inventory of all construction projects that used funds from this program must be reported with the final progress report.

After these reports have been reviewed and approved by *DHS FAO*, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the grant records for 3 years from the date of the final FFR, unless a longer period applies, such as due to an audit or litigation, for equipment or real property used beyond the period of performance, or due to other circumstances outlined in 2 C.F.R. § 200.333.

In addition, any recipient that issues subawards to any subrecipient is responsible for closing out those subawards as described in 2 C.F.R. § 200.343. Recipients acting as pass-through entities must ensure that they complete the closeout of their subawards in time to submit all necessary documentation and information to *DHS FAO* during the closeout of their prime grant award.

The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial records.

e. Disclosing Information per 2 C.F.R. § 180.335

This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a recipient enters into a grant award with *DHS FAO*, the recipient must notify *DHS FAO* if it knows if it or any of the recipient's Principal Investigators under the award fall under one or more of the four criteria listed at 2 C.F.R. § 180.335, as follows:

- Are presently excluded or disqualified
- Have been convicted within the preceding 3 years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or any of the recipient's principals for one of those offenses within that time period
- Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, state or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a)
- Have had one or more public transactions (Federal, state, or local) terminated within the preceding three years for cause or default

At any time after accepting the award, if the recipient learns that it or any of its principals falls under one or more of the criteria listed at 2 C.F.R. § 180.335, the recipient must provide immediate written notice to *DHS FAO* in accordance with 2

f. Reporting of Matters Related to Recipient Integrity and Performance:

Per 2 C.F.R. Part 200, Appendix I § F.3, the additional post-award reporting requirements in 2 C.F.R. Part 200, Appendix XII may apply to applicants who, if upon becoming recipients, have a total value of currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies that exceeds \$10,000,000 for any period of time during the period of performance of an award under this funding opportunity. Recipients that meet these criteria must maintain current information reported in FAPIIS about civil, criminal, or administrative proceedings described in paragraph 2 of Appendix XII at the reporting frequency described in paragraph 4 of Appendix XII.

4. Monitoring and Oversight

Per 2 C.F.R. § 200.336, DHS FAO, through its authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems to review project accomplishments and to provide any required technical assistance. During site visits, *DHS FAO* will review grant recipients' files related to the grant award. As part of any monitoring and program evaluation activities, grant recipients must permit *DHS FAO*, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to *DHS FAO* requests for information relating to the grant program.

5. Program Evaluation

Recipients and subrecipients are encouraged to incorporate program evaluation activities from the outset of their program design and implementation to meaningfully document and measure their progress towards the outcomes proposed Title I of the Foundations for Evidence-Based Policymaking Act of 2018 (Evidence Act), Pub. L. No. 115-435 (2019) defines evaluation as "an assessment using systematic data collection and analysis of one or more programs, policies, and organizations intended to assess their effectiveness and efficiency." Evidence Act § 101 (codified at 5 U.S.C. § 311). Credible program evaluation activities are implemented with relevance and utility, rigor, independence and objectivity, transparency, and ethics (OMB Circular A-11, Part 6 Section 290).

Evaluation costs are allowable costs (either as direct or indirect), unless prohibited by statute or regulation, and such costs may include the personnel and equipment needed for data infrastructure and expertise in data analysis, performance, and evaluation. (2 C.F.R. §200).

In addition, recipients are required to participate in a DHS-led evaluation if selected, which may be carried out by a third-party on behalf of the Program Office or DHS. By accepting grant funds, recipients agree to participate in the evaluation, which may include analysis of individuals who benefit from the grant, and provide access to program operating personnel and participants, as specified by the evaluator(s) during the award.

G. DHS Awarding Agency Contact Information

1. Contact and Resource Information

For a hardcopy of the full announcement, please email (preferred) a request to:

Stephanie Dawkins
Grants Officer Stephanie.Dawkins@hq.dhs.gov: (202) 774-9760
Hours: 6:30am – 3:00pm, Eastern Standard Time

Applications will be processed through the Grants.gov portal.

S&T Office of University Programs, Technical Contact: Gregory Simmons
Program Manager gregory.simmons@hq.dhs.gov: (202) 254-5631
Hours: 9:00am – 5:00pm, Eastern Standard Time

H. Additional Information

1. Period of Performance Extensions

Extensions to this program are allowed up to one year. The following conditions apply:

- Only the DHS Grants Officer can authorize extensions to the Period of Performance.
- Submit extension request in writing to the DHS Grants Officer, with a copy sent to the Program Manager no later than sixty (60) days prior to the expiration date of the performance period.
- Requests for extensions to the Period of Performance will be considered but will not be automatically granted. PIs must support requests for extensions with adequate justification. Justifications must include the reason(s) for delay, an outline of the remaining resources/funds available to support the extended period of performance, and a description of the performance measures necessary to complete the Program. Performance and financial status reports must be current to have extension request considered.
- DHS has no obligation to provide additional resources/funding as a result of an extension.

2. Other

Applicants may seek to establish collaborative relationships with other suitable HSE partners that are performing research in areas essential to DHS. Applicants may consider the following areas:

- 1) Counterterrorism
- 2) Cyber Security/Cyber Resilience
- 3) Quantum Computing
- 4) Artificial Intelligence/Machine Learning
- 5) Decision Science/Game Theory

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- 6) Transportation Security and Screening (includes explosives)
- 7) Maritime Domain Awareness
- 8) Arctic Domain Awareness
- 9) Border Security, Trade and Immigration
- 10) Infrastructure Protection and Resilience
- 11) Natural Hazards and Community Resilience
- 12) Applied Quantitative/Qualitative Analyses in HS
- 13) Criminal Investigation Science in HS

Suitable HSE partners include state and local labs or agencies, FFRDCs, or private sector partners.

3. Appendices

- DHS Science and Technology Directorate <https://www.dhs.gov/science-and-technology>
- Quadrennial Homeland Security Review (QSHR):
<https://www.dhs.gov/sites/default/files/publications/2014-qhsr-final-508.pdf>
- DHS Strategic Plan FY2020 – 2024:
https://www.dhs.gov/sites/default/files/publications/19_0702_plcy_dhs-strategic-plan-fy20-24.pdf
- DHS Information Technology Strategic Plan 2019-2023:
<https://www.dhs.gov/publication/dhs-information-technology-strategic-plan-2019-2023>
- DHS S&T Office of University Programs and its' Centers of Excellence:
<https://www.dhs.gov/science-and-technology/centers-excellence>
- Department of Homeland Security Industry Guide: R&D Investment Priorities and Business Opportunities:
https://www.dhs.gov/sites/default/files/publications/ST_Industry_Guide.pdf
- Integrated Product Teams for Department of Homeland Security R&D FY17 Report:
https://www.dhs.gov/sites/default/files/publications/IPT%20Report%20FY17_1_v2.pdf
- Department of Homeland Security Science and Technology Project Responder 5 August 2017: https://www.dhs.gov/sites/default/files/publications/Project-Responder-5-Report_170814-508.pdf
- U.S. Public Law 111-352, *Government Performance and Results Act (GPRA) Modernization of 2010* - requires all Federal agencies to collaborate on everything from information sharing to operations:
<https://www.govinfo.gov/content/pkg/PLAW111publ352/pdf/PLAW111publ352.pdf>
- The National Academies of Sciences, Engineering, and Medicine Consensus Study Report, *Minority Serving Institutions: America's Underutilized Resource* for

<https://www.nap.edu/catalog/25257/minority-serving-institutions-americas-underutilized-resource-for-strengthening-the-stem>

- Accredited U.S. postsecondary institutions that meet the statutory criteria for identification as a Minority Serving Institution:
<http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>

Disclosure

Risk Assessment Evaluation

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

In evaluating risks, DHS may consider the following:

- Financial stability
- Quality of management systems and ability to meet the management standards prescribed in applicable OMB Guidance
- Applicant's record in managing previous DHS awards, cooperative agreements, or procurement awards, including:
 - Timeliness of compliance with applicable reporting requirements
 - Accuracy of data reported
 - Conformance to the terms and conditions of previous Federal awards
 - Extent, if applicable, to which any previously awarded amounts will be expended prior to future awards
 - Information available through OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as: Federal Awardee Performance and Integrity Information System (FAPIIS), UEI and SAM
 - Reports and findings from single audits performed under Subpart F- Audit Requirements, 2 C.F.R. Part 200 and findings and reports of any other available audits
 - Applicant organization's annual report
 - Publicly available information, including information from the applicant organization's website
 - Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.

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

Applicant Disclosure of High-Risk Status

Applicants are to disclose if they are currently designated as high risk by a Federal awarding agency. This includes, but is not limited to, any status requiring additional oversight by a Federal awarding agency due to past programmatic, administrative, or financial concerns. If an applicant is designated as high risk by a Federal awarding agency, it should provide an explanation with the application package and include the following information:

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

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

APPENDIX A

DHS Scientific Leadership Award (SLA)

COOPERATIVE AGREEMENT TERMS AND CONDITIONS **GRANTS AND FINANCIAL ASSISTANCE DIVISION (GFAD)**

In addition to the DHS Standard Terms and Conditions as outlined here:

[https://www.dhs.gov/sites/default/files/2022-](https://www.dhs.gov/sites/default/files/2022-01/fy_2022_dhs_terms_and_conditions_version_2_dated_jan_24_2022_508.pdf)

[01/fy_2022_dhs_terms_and_conditions_version_2_dated_jan_24_2022_508.pdf](https://www.dhs.gov/sites/default/files/2022-01/fy_2022_dhs_terms_and_conditions_version_2_dated_jan_24_2022_508.pdf) the following Terms and Conditions apply specifically to this award as administered by the Grants and Financial Assistance Division (GFAD):

ARTICLE I. ADMINISTRATIVE TERMS AND CONDITIONS

A.

RESEARCH PROJECT AND MANAGEMENT AWARD SPECIFIC TERMS AND CONDITIONS AND/OR RESTRICTIONS

1. Recipient shall submit all projects and programs funded under this Award to DHS for review and approval using [Grantsolutions](https://grantsolutions.gov) ([Home - innovative Federal grants management services \(grantsolutions.gov\)](https://grantsolutions.gov))
2. Recipient shall compete fully and fairly, to the maximum extent practicable, all projects funded under this Award unless DHS has approved otherwise.
3. Recipient shall submit annual work plans for the activities for this Award to DHS for review and approval ahead of the next budget period. Modifications to any project or program funded under this award should be submitted to DHS for review and approval before initiating new work.
 - a. Annual work plans must provide information on the overall activities. The work plan shall include:
 - i. Summary of the awardee's strategic vision and activities;
 - ii. Summary of awardee's communication activities;
 - iii. Summary of awardee's management efforts including management decision making apparatus and review process to monitor project progress;
 - iv. Detailed descriptions of SLA project (including sub-recipient projects) to include:
 - Abstract (objectives, outcomes, value proposition)
 - Objective/Purpose
 - Baseline
 - Methodology
 - Project milestones
 - Performance metrics used to evaluate progress & assessments of

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- current concept of operations and baselines/state of the art in use
 - Transition plans to include development steps, intellectual property management plans, & market specific considerations
 - Stakeholder engagement
 - Potential programmatic risks to completion and risk mitigations
 - Project outcomes and outputs, including information on how project outcomes will advance or impact current policies, procedures, technologies or capabilities.
- v. Budget information categorized by both object class and project, including budget justification. Awardees should allocate resources in the following categories: Administration & Execution, Research & Development, Education & Training, Customer Outreach & Communication. The following categories should be included in the budget request. Awardees should work with PM's to identify minimum expenditures in each category necessary to address Evaluation Criteria:
1. Administration and Execution (labor)
 - a. Principal Investigator & supporting investigators (labor)
 - b. Data acquisition (licenses, fees, etc.)
 - c. Materials
 - d. Supplies
 - e. Equipment
 - f. Facilities
 - g. Project travel (consistent with iv. Customer outreach)
 2. Education and Training
 - a. Staff (labor)
 - b. Scholarships
 - c. Fellowships
 - d. Internships
 - e. Workforce development classes/webinars/seminars
 - f. Course & curriculum development (labor)
 - g. Summer workshops (labor, facilities, materials)
 3. Customer Outreach and Communication
 - a. Professional Strategic Communications Expert (labor)
 - b. Communications support staff (labor)
 - c. Travel for all functions to DHS customers including project level travel
 - d. Communication services, products, materials
 - e. Annual meeting and outreach events – not including travel (technical and customer engagements)
 4. Transition

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- a. Technology development professional (labor)
 - b. IP due diligence costs (labor legal)
 - c. Business planning evaluations – financial modeling to support stage gate decisions (labor business)
 - d. IP submission costs e.g. trademark, copyright expenses
 - e. Market assessments (labor)
 - f. Licensing costs for background IP
 - g. Initial operations and maintenance costs (vendor services)
 - h. Unit testing and evaluation – (labor, facilities, supplies/ equipment/materials)
 - i. Concept or technology integration costs (in customer environments or to meet final customer requirements, e.g. FISMA accreditation)
4. Recipient shall organize and participate in technical review of the research and education efforts funded under this Award annually, at a minimum, or as determined by the DHS Program Officer.
5. Recipient agrees to work with the technology transfer office of recipient's institution to engage in technology transfer and commercialization activities, as appropriate.
6. DHS has an interest in publications generated from DHS-funded research for program awareness. Recipient shall include in progress reports a list of publications produced under this Award during the relevant budget period to the DHS Program Officer. DHS encourages recipients to keep the DHS Program Officer informed about the anticipated release of significant publications. Please refer to Article II. Section L for information on Enhancing Public Access to Publications.
7. Co-Authoring of Reports and Articles. Papers, presentations, or other documents co-authored by a DHS employee and an award recipient researcher will be subject to DHS's publications approval process prior to dissemination of the publication by the authors. Recipients shall submit these publications to the DHS author for DHS clearance at least sixty (60) days prior to dissemination of the publication. Recipient agrees to submit all required DHS clearances with the publication materials to the DHS Program Officer of Record.
10. Data Acquisition and Management Plan
 - a. Within thirty (30) days of initiating work on any research project that requires access to third party data, including data provided by DHS Component agencies, the Recipient must provide a plan for acquiring data as described in (b) below. The Recipient shall coordinate review of the plan with the University's Technology, Security, Privacy, and/or Information offices, as appropriate, prior to submission to DHS. The Recipient shall submit its plan to the DHS Program Officer for review and comment within thirty (30) days of initiating research. DHS will review the plan and notify the Recipient of any concerns that may be identified. The Recipient shall review the Data Acquisition and Management Plans at least annually and identify or update, as necessary, any new areas of research that require access to third party data.
 - b. The plan must include the following information for each project (see 11e for data definitions):

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- i. The purpose for collecting the data and characteristics of the data. If the data is deemed privacy sensitive, the Recipient must comply with the applicable federal, state, and local privacy laws, as well as DHS and university/research institute policies regarding the collection and use of personally identifiable information (PII).
 - ii. The uses of the data
 - iii. A written commitment from the data's owner(s) to provide the Recipient the required data and the conditions under which the data will be collected and provided
 - iv. A plan for the disposal or retention of the data after the research ends.
- c. Information collection activities performed under this award are the responsibility of the awardee, and DHS support of the project does not constitute agency approval of the survey design, questionnaire content or information collection procedures. The awardee shall not represent to respondents that such information is being collected for or in association with the Department of Homeland Security or any other Government agency without the specific written approval of such information collection plan or device by the agency. This requirement, however, is not intended to preclude mention of DHS support of the project in response to an inquiry or acknowledgment of such support in any publication of this information.
- d. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient may use, generate or have access to government facilities and sensitive or classified information.

11. Information Protection Plan:

The Parties agree that all research conducted under this Award is intended to have publicly releasable results.

- a. Accordingly, no research under this Award should involve, use, or generate sensitive information, which includes PII, and/or classified information (see Item e of this section for Definitions).
- b. As a condition of access to this SLA recipient, DHS agrees not to provide the Recipient any data or information that is sensitive or classified, i.e., information or data that would not be released completely in response to a request under the Freedom of Information Act, 5 U.S.C. § 552.
- c. Should the Recipient receive any data or information from DHS that the Recipient has reason to believe may be sensitive or classified, within 24 hours, the Recipient shall (1) notify the DHS Grants Management Specialist named in the award documents; (2) shall send such data or information to the Grants Management Specialist, unless otherwise directed by DHS; (3) shall erase or otherwise destroy any vestige of such data or information in its records and computer systems; and (4) shall notify the Grants Management Specialist of the means and time of such destruction.
- d. In order to ensure research under this Award does not involve, use, or generate sensitive or classified information, intentionally or accidentally, Recipient shall develop an Information Protection Plan that incorporates policies and procedures that properly define, recognize, and protect such sensitive or classified information.
 - i. Recipient will submit its plan to the DHS Program Officer for review and comment within 30 days of award. The Recipient will be notified of any concerns that may be identified once the plan is reviewed by DHS.
 - ii. The recipient will review the Information Protection Plan at least annually and

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update as necessary for new or existing areas of research that may involve sensitive information.

- iii. Recipient will submit any updates to the Information Protection Plans along with annual reports to the DHS Program Officer for review and comment.
- e. Recipient further understands and agrees that despite the best efforts of the Parties to avoid research under this Award that involves, uses, or generates sensitive or classified information, the possibility exists that such information could nonetheless be involved, used or generated and be subject to protection by law, executive order, regulation or applicable DHS policies. The Recipient is, therefore, responsible for compliance with all applicable laws, regulations and policies. Nothing in this Award shall be construed to permit any public disclosure of sensitive and/or classified information in violation of these restrictions.
- f. The Information Protection Plan will ensure the Recipient identifies, secures, and prohibits public disclosure of “sensitive or classified information.” Recipient maintains responsibility for their due diligence in identifying and properly marking any information governed by U.S. export controls regulations. For further information on applicable export controls, please see **Article II, Section H** of this award.
- g. Required Notifications to DHS:
 - i. If Recipient determines that research under this Award involved, used, or generated sensitive or classified information, it agrees to secure the information in accordance with its Information Protection Plan and notify the DHS Program Officer immediately.
 - ii. The Recipient shall inform the DHS Program Officer in writing within **24 hours** of the Recipient becoming aware of any potential security lapses involving either: the handling requirements for sensitive or classified information; or material failure of individuals to follow the Information Protection Plan.
- h. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient may use, generate or have access to government facilities and sensitive or classified information.
- i. Definitions: For purposes of this section.

Sensitive Information. General Definition. Any information, the loss, misuse, disclosure, or unauthorized access to or modification of which could adversely affect the national or homeland security interest, or the conduct of federal programs, or the privacy to which individuals are entitled under Section 552a of title 5, United States Code (the Privacy Act), but which has not been specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret in the interest of national defense, homeland security or foreign policy.

This definition includes the following categories of information:

- Protected Critical Infrastructure Information (PCII) as set out in the Critical Infrastructure Information Act of 2002 (Title II, Subtitle B, of the Homeland Security Act, Public Law 107-296, 196 Stat. 2135), as amended, the implementing regulations thereto (Title 6, Code of Federal Regulations, Part 29) as amended, and any supplementary guidance officially communicated in writing by an authorized official

of the Department of Homeland Security (including the PCII Program Officer or his/her designee);

- Information designated as “For Official Use Only,” which is unclassified information of a sensitive nature and the unauthorized disclosure of which could adversely impact a person’s privacy or welfare, the conduct of federal programs, or other programs or operations essential to the national or homeland security interest; and
 - Personally Identifiable Information (PII). Any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, legal permanent resident, visitor to the U.S., or employee or contractor to the Department.
 - Sensitive PII is PII which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.
- ii. Classified Information. Defined as information designated in accordance with Executive Order 12958.

12. Information Technology Security

- a. As a condition of access to the Award Recipient, DHS agrees not to provide the Recipient any data or information that is sensitive or i.e., information or data that would not be released completely in response to a request under the Freedom of Information Act, 5 U.S.C. § 552. Should the Recipient receive any data or information from DHS that the Recipient has reason to believe may be sensitive or classified, within 24 hours, the Recipient shall (1) notify the DHS Grants Management Specialist named in the award documents; (2) shall send such data or information to the Grants Management Specialist, unless otherwise directed by DHS; (3) shall erase or otherwise destroy any vestige of such data or information in its records and computer systems; and (4) shall notify the Grants Management Specialist of the means and time of such destruction.

13. Foreign Participation Reporting Instructions

The admittance of foreign detailees, scientists, and students into DHS sponsored/funded academic and other programs may result in continuous exposure of DHS information, personnel, IT systems, technologies, facilities, resources, and programs by non-U.S. citizens. In order to mitigate this potential security risk, DHS Management Policy 121-08 stipulates all foreign detailees, scientist, professors, principal investigators, and student nominees involved in long- term (greater than 30 days) DHS sponsored/funded academic or other DHS programs must submit a DHS Form 11055, to the DHS Office of Chief Security Officer:

https://www.fletc.gov/sites/default/files/dhs_form_11055_foreign_national_screening.pdf. The University is required to ensure all foreign investigators and students working on DHS sponsored/funded research or receiving tuition or travel support of any kind through this award, complete DHS Form 11055, to report all foreign national students/teaching assistants. Within the Form, Section I (Foreign National Information), Section II (Foreign National Information -Passport/Visa), and Section III (Foreign National Information (Employer Information) must be completed.

Sponsor information will be completed internally at S&T.

Please complete, save and return Form 11055 to by email to Rebecca.Medina@hq.dhs.gov. Do Not Use the “Submit” button on the form. Form 11055 shall be submitted within 30 days from either project kick-off or from new foreign participants joining the project. For individual engagements with Foreign Nationals, Recipient will submit Form 11055 at least 30 days prior to the activity in which the foreign national participates. Please indicate your position title in the email.

14. Intellectual Property Management

- a. It is vitally important that both Parties understand their respective intellectual property rights and applicable obligations under this Award.
- b. Recipients should refer to both 2 C.F.R. § 215 “Uniform Administrative Requirement for Grants and Agreements with Institutions for Higher Education, Hospitals” and 37 C.F.R. § 401 “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements” for a complete summary of their rights and responsibilities.
- c. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient may use, generate or have access to government facilities and sensitive or classified information.
- d. Definitions: Please refer to Article II. Section J.

15. Research Safety Plan

- a. DHS Scientific Leadership Award (SLA) research addresses issues of importance to intelligence and counter- terrorism agencies, law enforcement, or emergency responders, all of which involve inherent risks. To ensure that researchers and research facilities funded through this Award meet the highest safety standards possible, DHS requires every Recipient of a SLA award to develop a Research Safety Plan. The Recipient shall review the Research Safety Plan at least annually and identify or update, as necessary, any new areas of research or sub-recipients conducting research activities under this plan. This review will also ensure that all sub-recipients conducting research covered by this plan have developed and implemented appropriate safety plans and periodic safety training in accordance with their institutional policies and procedures.

Recipient will submit any updates to the Research Safety Plan to the DHS Program Officer for review and comment.

- b. The Research Safety Plan must include, at a minimum, the following:
 - i. Identification of possible research hazards associated with the types of research to be conducted under this Award;
 - ii. Research protocols or practices that conform to generally accepted safety principles applicable to the nature of the research;
 - iii. The Recipient’s processes and procedures to ensure compliance with the applicable protocols and standards;
 - iv. The Recipient’s processes and procedures to ensure the prevention of unauthorized activities conducted in association with this Award;
 - v. Faculty oversight of student researchers;
 - vi. Research safety education and training to develop a culture of safety;
 - vii. Access control, where applicable;

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- viii. Independent review by subject matter experts of the safety protocols and practices; and
 - ix. Demonstrated adherence to all safety-related terms and conditions contained elsewhere in this Award.
 - c. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient may conduct research where safety protocols are necessary to conduct safe research.
16. Public Communication: The Recipient shall update all required project information for entry into a DHS project database. Posting and updating Awardee and project level information is a condition for receiving further annual funding increments. Project updates follow pre-determined categories of information that must be populated at least annually.
17. SLA Science and Engineering Workforce Development:
Should the Awardee work with DHS through this initiative, the recipient shall follow the below terms and conditions:
- a. DHS must ensure that U.S. citizens are trained in homeland security-related science and engineering disciplines in order to maintain U.S. leadership in science and technology, as required by the Homeland Security Act of 2002. Only U.S. citizens can work with federal, state and local agencies in the agencies' secure offices and operating environments and can obtain security clearances and access to sensitive information needed to conduct research into homeland security issues.
 - b. Under this initiative, each Awardee may use SLA Science and Engineering Workforce Development tuition assistance and stipends to support U.S. students studying the topics of and working on homeland security research projects. Ninety-two percent (92%) of funds must go directly to support undergraduates, graduates, or a combination of undergraduate and graduate, students who are U.S. citizens working in the recipient's research area.
 - c. All students supported by SLA Workforce Development funds shall report directly to the Awardee Faculty or staff and shall work primarily on SLA projects. Student participation in Awardee activities must take precedence to other research or employment for students to be eligible for SLA support. SLA activities include but are not limited to the following: supporting SLA management activities, working on SLA research projects, teaching, and experiential learning related to SLA research topics.
 - d. Grants may be used to complement existing funding sources for students that are selected as participants but may not supplant or be used in lieu of other SLA funds. ***DHS expects a net increase in the number of students supported in SLA programs funded through this section. These funds must be awarded only to newly supported students.***
 - e. All SLA Awardee's working with DHS on this initiative must develop and submit a Workforce Development work plan to DHS Program Manager for review and approval ahead of the next budget period, including individual recipient activities or projects. Modifications to any project or program funded under this award should be submitted to DHS for review and approval before initiating new work.

The work plan shall include:

- i. A description of the Awardee's established or proposed science and

engineering research and coursework including how research experiences will be incorporated into the program.

- ii. Details of an application and award process for selecting recipients. This process must include input from external subject matter experts (SMEs). Qualified students must meet the following minimum standards:
 1. Must be U.S. citizens.
 2. Must currently be in good academic standing and maintain good academic standing for the duration of participation in this program.
 3. Must major in homeland security-related disciplines associated with the Awardee research areas. ***These funds may not be used to support the completion of professional degrees (e.g. juris doctor, or doctor of medicine.)***
 4. NOTE: Many positions in the homeland security field require a background check. Therefore, the student selection process and program experiences should include plans to address these requirements.
 5. International students must comply with Section 13. Foreign Participation Notification Instructions.
 6. A commitment to facilitate student attendance at a professional conference within a science and engineering-related field of study.
 7. A description of how the SLA will assign qualified academic mentors for each recipient from the student's field of study.
 8. A plan to make awards within one year of receipt of funds. Recipient institutions must award tuition assistance and stipends to students attending SLA affiliated institutions and working on SLA research, development or technology transition projects.
 9. For undergraduates, awards shall cover up to 100% but not less than 50% of tuition and mandatory fees (or equivalent), plus a stipend of no more than \$2500 per month for twelve months. Stipends can be less than \$2500 per month if appropriate for the geographic region or if paid summer internships can be secured.
 10. For graduate students, awards shall cover up to 100% but not less than 50% of tuition and mandatory fees (or equivalent), plus a stipend of no more than \$4000 per month for twelve months. Stipends can be less than \$4000 per month if appropriate for the geographic region or if paid internships can be secured.
- iii. A plan for identifying and placing students in the two required ten-week internships that complement DHS SLA approved research or are operational venues that work in the SLA field of study. Internships should take place away from the student's home institution. Students must receive a stipend and travel/lodging support to an internship location during summer months for 2 summers if paid internships cannot be secured. Funds budgeted for stipends during summer months may be re-budgeted if paid internships are secured.
- iv. Details of a strategy to ensure supported students proactively seek and

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obtain paid employment within the Homeland Security Enterprise (DHS, federal/state/local government, etc.) for at least one year after graduation.

- v. An approach for evaluating program success. Institutions should make a good faith effort to understand the number of students that obtain employment in the Homeland Security Enterprise because of being associated with their program.

B. DHS PROGRAMMATIC INVOLVEMENT

DHS staff are not meant to play a dominant role nor assume direction or primary responsibility for awardee activities. However, in addition to the usual monitoring and technical assistance, the following identifies DHS responsibilities under this Award:

1. DHS shall determine if a kickoff meeting is required for proposed projects or proposed continuations of existing projects. DHS shall coordinate with appropriate DHS staff, Awardee staff and researchers prior to project initiation.
2. DHS shall approve or disapprove annual work plans and any modifications to the work plans for this Award
3. DHS shall conduct ongoing monitoring of the activities of Recipient's workplan and activities funded through this Award through face-to-face and/or telephone meetings and review of progress reports.
4. DHS shall coordinate reviews in cooperation with the Recipient during the Project Period to provide guidance on how the research and education programs need to evolve to align with the needs of the Homeland Security Enterprise.
5. DHS coordination with the Recipient will include, but is not limited to:
 - a. Providing strategic input as necessary on an ongoing basis;
 - b. Coordinating research and development activities that support the national research agenda; and
 - c. Creating awareness and visibility for this program.
6. DHS may modify this Award to support additional research projects funded by DHS or other sources provided that these projects meet three conditions:
 - a. Are research for a public purpose that addresses homeland security research priorities;
 - b. Fall within scope of the grant or cooperative agreement; and
 - c. Conform to federal assistance agreements (grant and cooperative agreement) guidelines.
7. DHS employees may co-author publications with SLA researchers. Any publication co-authored by DHS staff will be subject to DHS's publications approval process prior to dissemination of the publication as required under Item 9, in Section A.
8. DHS shall review and provide comments on the Recipient's Information Protection Plan as required under Item 11 in Section A.
9. DHS shall review and provide comments on the Recipient's Research Safety Plan as required under Item 14, in Section A.

11. DHS may invite subject matter experts, customers, or stakeholders to assist in evaluating the Center's annual workplan, annual meetings, or other events for the purpose of reviewing project quality and/or providing relevant operational perspectives.
12. DHS shall ensure adherence to DHS privacy policies and requirements and include that recipients perform work in a manner consistent with DHS authorities.

C. AMENDMENTS AND REVISION

13. Budget Revisions.

- a. Transfers of funds between direct cost categories in the approved budget when such cumulative transfers among those direct cost categories exceed ten percent of the total budget approved in this Award require prior written approval by the DHS Grants Officer.
- b. The Recipient shall obtain prior written approval from the DHS Grants Officer for any budget revision that would result in the need for additional resources/funds.
- c. The Recipient is not authorized at any time to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa, without prior written approval of the DHS Grants Officer.

14. Extension Request.

- a. Extensions to the Period of Performance can only be authorized in writing by the DHS Grants Officer.
- b. The extension request shall be submitted to the DHS Grants Officer sixty (60) days prior to the expiration date of the performance period.
- c. Requests for time extensions to the Period of Performance will be considered, but will not be granted automatically, and must be supported by adequate justification to be processed. The justification is a written explanation of the reason or reasons for the delay; an outline of remaining resources/funds available to support the extended Period of Performance; and a description of performance measures necessary to complete the project. Without performance and financial status reports current and justification submitted, extension requests shall not be processed.
- d. DHS has no obligation to provide additional resources/funding as a result of an extension.

D. EQUIPMENT

1. Prior to the purchase of Equipment in the amount of \$5,000 or more per unit cost, the recipient must obtain the written approval from DHS.
2. For equipment purchased with Award funds having a \$5,000 or more per unit cost, the Recipient shall submit an inventory that will include a description of the property; manufacturer model number, serial number or other identification number; the source of property; name on title; acquisition date; and cost of the unit; the address of use; operational condition of the property; and, disposition data, if applicable. This report will be submitted with the Final Progress Report, which is due 90 days after the expiration of

the project period. GrantSolutions submission guidance may be found here:

<https://www.grantsolutions.gov/support/pdf/GrantRecipientProcessPerformanceProgressReport.pdf>

E. FINANCIAL REPORTS

1. (Annual) Federal Financial Reports. The Recipient shall submit a Federal Financial Report (SF425) to the DHS Grants Officer no later than sixty (60) days after the end of the budget period end date. The report shall be submitted via GrantSolutions using the guidance found here: <https://www.grantsolutions.gov/support/public/pdf/FederalFinancialReport-RecipientsFinalv2.pdf>
2. Final Federal Financial Report. The Recipient shall submit the final Federal Financial Report (SF425) to the DHS Grants Officer no later than 120 days after the end of the Project Period end date. The report shall be submitted via GrantSolutions using the guidance found here: <https://www.grantsolutions.gov/support/public/pdf/FederalFinancialReport-RecipientsFinalv2.pdf>
3. Quarterly Federal Financial Reports (Cash Transaction). The Recipient shall submit the Federal Financial Report (SF425) Cash Transaction Report to the Department of Health and Human Services, Payment Management System. Quarterly Cash Transaction reports shall be submitted no later than 1/30, 4/30, 7/30, and 10/30.

F. PAYMENT

1. The Recipient shall be paid in advance using the U.S. Department of Health and Human Services/Payment Management System, provided it maintains or demonstrates the willingness and ability to maintain written procedures to minimize the time elapsing between the transfer of the funds from the DHS and expenditure disbursement by the Recipient. When these requirements are not met, the Recipient will be required to be on a reimbursement for costs incurred method.
2. Any overpayment of funds must be coordinated with the U.S. Department of Health and Human Services/Payment Management System.

G. PERFORMANCE REPORTS

Performance Reports. The Recipient shall submit semi-annual performance reports to the DHS Grants Officer for review and acceptance by DHS as a condition for receiving further annual funding increments. Semi-Annual performance reports are due 6 months after the start award. Annual Reports must provide a summary of the activities conducted during the prior budget year. The report shall be submitted via GrantSolutions using the guidance found here, no later than sixty (60) days after the end of the Center's budget period of year:

- a. <https://home.grantsolutions.gov/home/wp-content/uploads/2021/03/Add-a-Grant-Note.pdf>

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Performance reports must provide information on the overall progress of the Awardee based on the activities discussed in the corresponding work plan. These reports should map work plan activities (activities planned) to those activities performed during the year to include:

- i. Summary reports on the Awardees strategic vision and support justification
 - ii. Summary of Awardees communication activities;
 - iii. Summary of Awardees management efforts including decision making apparatus;
 - iv. Performance reports on each SLA Project should include:
 - o Explanation of any changes from the initially approved workplan
 - o Objective/Purpose
 - o Baseline
 - o Methodology
 - o Project milestones to include progress met against them
 - o Performance metrics used to evaluate progress & assessments of current concept of operations and baselines/state of the art in use
 - o Transition plans to include development steps, intellectual property management plans, & market specific considerations
 - o Stakeholder engagement
 - o Potential programmatic risks to completion; and,
 - o Progress against each milestone outcomes and outputs and explanation of why any items were not reached
 - o Unanticipated problems and plans for addressing them; and
 - o Information supported by data on how project outcomes will advance or impact current technologies or capabilities.
 - v. Budget information and expenditure (narrative and figures) categorized by both object class and project as described in Article 1, Item A.3.
 - vi. If applicable, include a certification that no patentable inventions were created during the budget period.
 - vii. Updates to the Awardee's Information Protection Plan and Researcher Safety Plan as needed.
- b. If the performance report contains any information that is deemed proprietary, the Recipient will denote the beginning and ending of such information with the following heading: *****PROPRIETARY INFORMATION*****

4. Final Performance Report. The Recipient shall submit the Final Performance Report to the DHS Grants Officer and DHS Program Officer no later than 120 days after the expiration of the Project Period (See Section H). The report shall be submitted via GrantSolutions using the guidance found here:

<https://www.grantsolutions.gov/support/pdf/GrantRecipientProcessPerformanceProgressReport.pdf>

- a. The Final Performance Report shall include:
 - i. An executive summary and final summary abstracts for each sub- project across all years of the period of performance

- ii. Address the areas identified above in the annual report section

H. PERIOD OF PERFORMANCE

The Period of Performance is the Project Period approved for the supported activity and is comprised of one or more Budget Periods as reflected on the Notice of Award cover page.

1. Project Period. The Project Period is referenced in the original award letter. The Recipient shall only incur costs or obligate funds within the Project Period for approved activities.
2. Budget Period. The Budget Period shall be for a period of 12 months, from July 1, through June 30 of the following year.
 - a. Additional funding will be provided for subsequent Budget Periods of the project, contingent on all of the following:
 - i. Acceptable performance of the project as determined by the DHS under this Award;
 - ii. Acceptance and approval by the DHS of each noncompeting continuation application;
 - iii. Acceptance and approval by the DHS of each previous Annual Performance Report and
 - iv. Subject to the availability of appropriated funds.
3. Non-Competing Continuation Requirements.
 - a. Ninety (90) days prior to the expiration date of each budget period, the Grants Officer will request submission of the annual incremental funding request details via Grants.gov website. The Recipient shall submit a non-competing continuation application to request the next Budget Period's incremental funding and a separate request for any possible carryover of prior year funds. The non- competing continuation application shall include:
 - i. An annual project work plan
 - ii. Carryover of Funds. Recipients are required to submit a separate Carryover Application for the unobligated balances remaining from funds awarded in one budget period to be carried over to the next succeeding budget period. This submission is due to the DHS Grants Officer and DHS Program Manager 90 days prior to budget period expiration and is a best estimate at the budget period expiration from the recipient (lead university and all sub-recipients). The Program Officer will review the Carryover justification, in consultation with the DHS Grants Officer, and provide input to the Grants Officer that the justification is reasonable, and the carryover funds should be used to complete any objectives which remain unmet from the prior budget period. Requests for carryover of funds from one Budget Period to the next Budget Period shall be submitted separately via email to the DHS Grants Officer with an SF 424 (R&R) face page and shall include:
 1. A brief description of the projects or activities and milestones to be carried forward,
 2. The amount of funds to be carried over and a revised budget
 3. The reason the projects or activities were not completed in

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accordance with the project timeline, and

4. The impact on any future funding for the projects or activities.
- iii. The DHS Program Officer will review the continuation application submission and provide input to the Grants Officer as to whether the Continuation Application is consistent with the approved work plan.

I. PRIOR APPROVAL REQUIRED

1. The Recipient shall not, without the prior written approval of the DHS, request reimbursement, incur costs or obligate funds for any purpose pertaining to the operation of the project, program, or activities prior to the approved Budget Period.

ARTICLE II. GENERAL TERMS AND CONDITIONS

A. ACCESS AND RETENTION TO RECORDS

The Recipient shall retain financial records, supporting documents, statistical records, and all other records pertinent to this Award for a period of 3 years from the date of submission of the final expenditure report. The only exceptions to the aforementioned record retention requirements are the following:

1. If any litigation, dispute, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, dispute or audit findings involving the records have been resolved and final action taken.
2. Records for real property and equipment acquired with federal funds shall be retained for 3 years after final disposition.
3. The DHS Grants Officer may direct the Recipient to transfer certain records to DHS custody when he or she determines that the records possess long term retention value. However, in order to avoid duplicate recordkeeping, the DHS Grants Officer may make arrangements for the Recipient to retain any records that are continuously needed for joint use.

DHS, the Inspector General, Comptroller General of the United States, or any of their duly DHS Scientific Leadership Award Cooperative Agreement Terms and Conditions authorized representatives, have the right of timely and unrestricted access to any books, documents, papers, or other records of the Recipient that are pertinent to this Award, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to Recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access in this award term are not limited to the required retention period but shall last as long as records are retained.

With respect to sub-recipients, DHS shall retain the right to conduct a financial review, require an audit, or otherwise ensure adequate accountability of organizations expending DHS funds. Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Access to Records).

B. COMPLIANCE ASSURANCE PROGRAM OFFICE AND EXPORT CONTROLS GROUP TERMS AND CONDITIONS

The Compliance Assurance Program Office (CAPO) is comprised of the DHS Treaty Compliance Group (TCG), DHS Export Controls Group (ECG), and the DHS Regulatory Compliance Group (RCG). The Under Secretary of Science and Technology (USST) is the DHS official responsible for the various portfolios under CAPO's purview and for implementing procedures to ensure that the Recipient and any Recipient institutions/collaborators under this Award comply with international treaties, federal regulations, and DHS policies for Arms Control Agreements, Biosafety, Select Agent and Toxin Security, Animal Care and Use, the Protection of Human Subjects in Research, Life Sciences Dual Use Research of Concern, and Export Controls.

CAPO collects and reviews relevant documentation pertaining to this Award on behalf of the USST. Additional guidance regarding the review process is provided in the following sections, along with contact information. This guidance applies to the Recipient and any/all Recipient institutions involved in the performance of work under this Award. The Recipient is responsible for ensuring that any/all Recipient institutions and collaborators comply with all requirements and submit relevant documentation, as outlined in sections C – G below, for work being performed under this Award.

C. TREATY COMPLIANCE FOR BIOLOGICAL AND CHEMICAL DEFENSE EFFORTS

The Recipient and any Recipient institution shall conduct all biological and chemical defense research, development, testing, evaluation, and acquisition projects in compliance with all arms control agreements of the U.S., including the Chemical Weapons Convention (CWC) and the Biological Weapons Convention (BWC). DHS Directive 041-01, *Arms Control Compliance for Chemical and Biological Defense Activities*, requires review of all such projects, including classified projects; projects involving biological and/or chemical agents, surrogates, or simulants; and non-laboratory activities related to biological and/or chemical agents (e.g., literature reviews, simulations, and/or modeling activities) to be systematically evaluated for compliance at inception, prior to funding approval, whenever there are any project changes, and whenever in the course of project execution an issue potentially raises a compliance concern.

- 1. Requirements for Initial Treaty Compliance Review.** To ensure compliance with DHS Directive 041-01, for each biological and/or chemical defense-related effort (including non-laboratory activities related to biological and/or chemical agents) to be conducted under this Award, **the Recipient must submit the following documentation for compliance review and certification prior to funding approval:** a completed Treaty Compliance Form (TCF) and a Statement of Work (or workplan). The Recipient should contact work with the DHS Program Manager to engage CAPO regarding treaty compliance issues. The DHS Program Manager should help them obtain the TCF, submit the completed TCF, and/or request additional guidance regarding treaty compliance documentation and review requirements. The CAPO will review all submitted materials and provide written confirmation of approval to the Recipient once the treaty compliance certification process is complete. **The Recipient and any Recipient institution shall not initiate any new activities, or execute**

modifications to approved activities, prior to receipt of this written confirmation.

2. Requirements for Ongoing Treaty Compliance Review. To ensure ongoing treaty compliance for approved biological and/or chemical defense-related efforts funded through this Award, **the Recipient, working with the DHS PM must notify CAPO of changes to include** – but are not limited to—the addition of biological or chemical agents (including any additional strains/isolates of biological material, simulants, or surrogates), a change in performers or sub-performer(s), modifications to the scope of work, and/or changes to the technical approach **per DHS Directive 041-01.**

D. REGULATORY COMPLIANCE FOR BIOLOGICAL LABORATORY WORK

The Recipient and any Recipient institution shall conduct all biological laboratory work in compliance with applicable federal regulations; the latest edition of the CDC/NIH *Biosafety in Microbiological and Biomedical Laboratories*; DHS Directive 066-02, *Biosafety*; DHS Instruction 066-02-001, *Instruction for Ensuring Biosafety Compliance*; and any local institutional policies that may apply for Recipient institution facilities performing work under this Award. The CAPO will review the submitted Treaty Compliance Form (TCF) for planned work under this Award to determine the applicability of the requirements outlined in this section. **The Recipient must engage the DHS Program Manager who will facilitate engagement with CAPO for guidance on the requirements, and then submit all required documentation based on CAPO guidance, prior to the initiation of any biological laboratory work under this Award.**

1. Requirements for All Biological Laboratory Work. Biological laboratory work includes, but not limited to, laboratory activities involving: (1) recombinant or synthetic nucleic acid molecules (DNA, RNA); (2) Biological Select Agents and Toxins or ‘BSAT’; or (3) biological agents, toxins, surrogates, or other biological materials that are not recombinant, synthetic, or BSAT. **Each Recipient and any Recipient institution to be conducting biological laboratory work under this Award must submit copies of the following documentation, as required by the CAPO after review of the TCF(s), for review prior to the initiation of such work:**
 - a. Research protocol(s), research or project plan(s), standard operating procedures(s), or other detailed description of the biological laboratory work to be conducted;
 - b. Documentation of project-specific biosafety review for biological laboratory work subject to such review in accordance with institutional policy;
 - c. Institutional or laboratory biosafety manual (may be a related plan or program manual) for each facility/laboratory to be involved in the biological laboratory work;
 - d. Biosafety training program description (should be provided as available in existing policies, plans, and/or manuals for all relevant facilities/laboratories where work is conducted;
 - e. Documentation of the most recent safety/biosafety inspection(s) for each facility/laboratory where the biological laboratory work will be conducted;
 - f. Exposure Control Plan, as applicable;
 - g. Documentation from the most recent Occupational Safety and Health Administration (OSHA) or State Occupational Safety and Health Agency

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inspection report; a copy of the OSHA Form 300 Summary of Work Related Injuries and Illnesses or equivalent, for the most recent calendar year; and documentation of any OSHA citations or notices of violation received in the past five (5) years; and

- h. Documentation from the most recent U.S. Department of Transportation (DOT) inspection report; and documentation of any DOT citations or notices of violation received in the past 5 years.

2. Requirements for Research Involving Recombinant or Synthetic Nucleic Acid Molecules.

Laboratory activities involving recombinant or synthetic nucleic acid molecules research are defined by the *NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules*, “*NIH Guidelines*”. Each Recipient and any Recipient institution shall conduct all such work in compliance with the NIH Guidelines. In addition to the documentation referenced above, **each facility conducting research activities involving recombinant or synthetic nucleic acid molecules under this Award must submit copies of the following documentation to the CAPO for review prior to the initiation of such activities:**

- a. Institutional Biosafety Committee (IBC) Charter, and/or other available documentation of IBC policies and procedures;
- b. Most recent Office of Biotechnology Activities (OBA) acknowledgement letter of the annual IBC Report;
- c. IBC-approved recombinant or synthetic nucleic acid molecules research protocol(s); and
- d. Documentation of final IBC approval for each recombinant or synthetic nucleic acid molecules research protocol and all subsequent renewals and amendments as they occur

3. Requirements for Activities Involving Biological Select Agents and Toxins (BSAT).

Planned activities involving the possession transfer, and/or use of BSAT must be reviewed by the CAPO prior to initiation. This requirement also applies to activities involving select toxins that fall below the Permissible Toxin Limits, both at facilities registered with the National Select Agent Program and at unregistered facilities. Each Recipient and any Recipient institution shall conduct all BSAT work in compliance with all applicable regulations, including 42 C.F.R. § 73, 7 C.F.R. § 331, and 9 C.F.R. § 121, related entity- and laboratory-specific policies and procedures, and DHS Directive 026-03, Rev 01, *Safeguarding Select Agents and Toxins*; and DHS Instruction 026-03-001, *Safeguarding Select Agents and Toxins*. **In addition to the documentation referenced in Section B.1 above, each facility conducting activities involving BSAT under this Award must submit copies of the following documentation to the CAPO for review prior to the initiation of such activities:**

- a. Current APHIS/CDC Certificate of Registration;
- b. Current versions of the Biosafety, Security, and Incident Response Plans required and reviewed under the Select Agent Regulations; and
- c. Documentation of the most recent annual BSAT facility inspection, as required of the Responsible Official under the Select Agent Regulations.

The Recipient should contact the DHS Program Manager who will work with CAPO to obtain the CAPO Documentation Request Checklist, submit documentation, or request more information

regarding the DHS CAPO documentation and compliance review requirements. The CAPO will provide written confirmation of receipt of all required documentation to the designated Point(s) of Contact. The CAPO will evaluate the submitted materials, along with available documentation from any previous reviews for related work at the Recipient and Recipient institution. Additional documentation may be required in some cases and must be submitted upon request. The CAPO will review all submitted materials and provide written confirmation to the Recipient once all requirements have been met.

CAPO review of submitted materials may determine the need for further compliance review requirements, which may include documentation-based and on-site components. The Recipient, and any Recipient institutions conducting biological laboratory work under this Award, must also comply with ongoing CAPO compliance assurance and review requirements, which may include but are not limited to initial and periodic documentation requests, program reviews, site visits, and facility inspections.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing biosafety or BSAT program issues as identified by the APHIS/CDC National Select Agent Program, other compliance oversight authorities, or institutional-level reviews (e.g., IBC or equivalent, laboratory safety/biosafety inspections); (2) any suspension or revocation of the APHIS/CDC Certificate of Registration; and (3) any for-cause suspension or termination of biological, rDNA, or BSAT activities at the laboratories/facilities where DHS-sponsored work is conducted.

Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to applicable DHS requirements for biological laboratory activities. All entities involved in activities under this Award must comply with applicable national and regional/local regulations, and standards and guidelines equivalent to those described for U.S. institutions (e.g., *BMBL and NIH Guidelines*). The Recipient must provide the CAPO with documentation sufficient to illustrate this compliance. The CAPO will evaluate compliance measures for these institutions on a case-by-case basis. The Recipient must not initiate work nor provide funds for the conduct of biological laboratory work under this Award without CAPO's formal written approval.

E. REGULATORY REQUIREMENTS FOR RESEARCH INVOLVING ANIMALS

The Recipient and any Recipient institution shall conduct all research involving animals under this Award in compliance with the requirements set forth in the Animal Welfare Act of 1966 (P.L. 89-544), as amended, and the associated regulations in 9 C.F.R., Chapter 1, Subchapter A; the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (which adopts the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training", 50 FR 20864, May 20, 1985); the National Research Council (NRC) Guide for the Care and Use of Laboratory Animals; the Federation of Animal Science Societies (FASS) Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching; any additional requirements set forth in the DHS Directive 026-01, *Care, Use, and Transportation of Animals in Research*; and DHS Instruction 026-01-001, *Care, Use, and*

***Transportation of Animals in Research.* Each Recipient and any Recipient institution planning to perform research involving animals under this Award must comply with the requirements and submit the documentation outlined in this section.**

1. Requirements for Initial Review of Research Involving Animals. Research Involving Animals includes any research, experimentation, biological testing, and other related activities involving live, vertebrate animals, including any training for such activities. Each facility conducting research involving animals under this Award must submit copies of the following documentation to the CAPO for review **prior to the initiation of such research**:
 - a. Institutional Animal Care and Use Committee (IACUC)-approved animal research protocol(s), including documentation of IACUC approval, any protocol amendments, related standard operating procedure(s), and related approval notifications;
 - b. Public Health Service (PHS) Animal Welfare Assurance, including any programmatic amendments, and the most recent NIH Office of Laboratory Animal Welfare (OLAW) approval letter for each Recipient and Recipient institution; OR DHS Animal Welfare Assurance, if the Recipient is not funded by the PHS and does not have a PHS Assurance on file with OLAW. Any affiliated IACUCs must be established under the same requirements as set forth in the PHS Policy;
 - c. Most recent IACUC semiannual program review and facility inspection reports covering all relevant species facilities/laboratories involved in DHS-funded work;
 - d. Most recent USDA Inspection report covering all relevant species, facilities/laboratories involved in DHS-funded work; and
 - e. Most recent Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) accreditation letter for AAALAC-accredited institution(s) housing and/or performing work involving animals under this Award.

All documentation, as well as any questions or concerns regarding the requirements referenced above, should be submitted to the DHS Program Manager who will facilitate engagement with CAPO. Additional documentation may be required in some cases and must be submitted upon request. The CAPO will review all submitted materials and provide written confirmation to the Recipient once all documentation requirements have been met. Upon receipt of this written confirmation, the Recipient may initiate approved animal research projects under this Award but must address any potential compliance issues or concerns identified by the CAPO. **Research involving the use of nonhuman primates or international collaborations involving animal research will require more extensive review prior to approval and must not begin under this Award without first obtaining a formal certification letter from the CAPO.**

The Recipient, as well as any Recipient institution and partner institutions conducting animal research under this Award, shall also comply with ongoing CAPO compliance assurance functions, which may include but are not limited to periodic site visits, program reviews, and facility inspections.

1. Requirements for Review of Research Involving Nonhuman Primates. For research activities involving any nonhuman primates, each Recipient and any Recipient institutions will be further reviewed by the VMO and CAPO prior to the initiation of work.
2. Requirements for Ongoing Review of Research Involving Animals. For ongoing animal

research activities, each Recipient and any Recipient institutions must submit updates to the CAPO regarding any amendments or changes to (including expiration, renewal, or completion of) ongoing animal protocols as they occur and may be required to submit annual updates regarding the ACU program at Recipient and Recipient institutions. Annual updates may include, but are not limited to, the IACUC semiannual (program review and facility inspection) reports, the USDA inspection report, and the most recent AAALAC accreditation letter, as applicable.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing noncompliance with animal care and use regulations and policies adopted by DHS (as referenced above); (2) any change in AAALAC accreditation status; (3) any USDA Notice of Violation; and (4) IACUC suspension of any animal research activity conducted under this Award.

3. Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to DHS approval for work involving animals. All entities involved in activities under this Award must comply with their own applicable national and regional/local regulations, standards and guidelines. The Recipient must provide CAPO documentation sufficient to illustrate this compliance. The CAPO will evaluate compliance measures for these institutions on a case-by-case basis to determine their sufficiency. The Recipient must not initiate nor provide funds for the conduct of work involving animals at foreign institutions under this Award without formal written approval from the CAPO.

F. REGULATORY REQUIREMENTS FOR LIFE SCIENCES DUAL USE RESEARCH OF CONCERN (DURC)

The Recipient and any Recipient institutions shall conduct all research involving agents and toxins identified in sections III.1 and 6.2.1 of the *USG Policy for Oversight of Life Sciences Dual Use Research of Concern* and *USG Policy for the Institutional Oversight of Life Sciences Dual Use Research of Concern*, respectively, in accordance with both policies referenced above and in accordance with any additional requirements set forth in related DHS policies and instructions. Under this award, each Recipient and any Recipient institutions planning to perform research involving agents and toxins identified in sections III.1 and 6.2.1 of the USG DURC policies, regardless of the funding source, must submit the following documentation outlined in this section for CAPO review. Note that submission of an iDURC form for review is required for any recipient planning to conduct life sciences laboratory work, in order for CAPO to determine applicability of USG DURC policies. Additional documentation may be required once a determination that the submitted work falls within DURC policy is made.

Institutions were required to implement the policy on or by September 24, 2015.

Requirements for Research Using DURC Agents and Toxins. To ensure compliance with the USG DURC Policies, each facility conducting research involving the agents and toxins identified in sections III.1 and 6.2.1 of the USG DURC Policies, regardless of funding source, must submit the following documentation for compliance review by CAPO prior to approval of funding:

- a. A completed iDURC form and a Statement of Work (or workplan);

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- b. Institutional Review Entity (IRE) charter, and/or other available documentation of IRE policies and procedures, to include the contact information for the Institutional Contact for DURC (ICDUR);
 - c. Institution's project-specific risk mitigation plan, as applicable;
 - d. DURC training or education program description; and
 - e. Formal annual assurance of compliance with the USG Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern.
2. Required Notifications to DHS:
- a. Within 30 calendar days of initial and periodic reviews of institutional review of research with DURC potential, notify CAPO of the results, including whether the research does or does not meet the DURC definition.
 - b. Report, in writing, any instances of noncompliance and mitigation measures to correct and prevent future instances of noncompliance within 30 calendar days to CAPO.
3. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient is performing work with agents or toxins identified in sections III.1 of the *USG Policy for Oversight of Life Sciences Dual Use Research of Concern* and 6.2.1 of the *USG Policy for the Institutional Oversight of Life Sciences Dual Use Research of Concern*.

The Recipient should contact the DHS Program Manager who will submit documentation or to request more information regarding the DHS regulatory documentation and compliance review requirements as requested by CAPO. CAPO will provide written confirmation of receipt of all required documentation to the DHS Program Manager. CAPO will evaluate the submitted materials. Additional documentation may be required in some cases and must be submitted upon request. CAPO will review all submitted materials and provide written confirmation to the Recipient once all requirements have been met. Upon receipt of this written confirmation, the Recipient may initiate approved projects under this award.

In order to meet the reporting requirements set forth in section IV.2 of the *2012 USG Policy for Oversight of Life Sciences Dual Use Research of Concern* (the biannual DURC Data Call), the Recipient and any Recipient institution shall submit documentation regarding all active, planned or recently completed (within twelve months of the submission) unclassified intramural or extramural activities on Federally- funded or conducted life science research projects biannually on the first Monday in May and November. The Recipient submit documentation to the DHS Program Manager who will submit to CAPO. Documentation should include an update on all listed activities, including status, all agents or toxins incorporated by strain or surrogate name, performers, contract information, and sites of activities. Documentation should also include any changes to existing or completed projects since the most recent submission, including—but not limited to—the addition of agents, a change in performer, modifications to the scope of work, and/or changes to the technical approach. A supplemental report detailing all work involving low pathogenic avian influenza virus H7N9 (LPAI H7N9) and Middle East Respiratory Syndrome Coronavirus (MERS-CoV).

4. Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents.

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Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to the iDURC policy. The Recipient must provide CAPO documentation sufficient to illustrate this compliance. CAPO will evaluate compliance measures for these institutions on a case-by-case basis. The Recipient must not initiate work nor provide funds for the conduct of biological laboratory work under this Award without CAPO's formal written approval.

G. REGULATORY REQUIREMENTS FOR RESEARCH INVOLVING HUMAN SUBJECTS

The Recipient and any Recipient institutions shall conduct all Research Involving Human Subjects in compliance with the requirements set forth in 6 C.F.R. 46 and 45 C.F.R. 46, Subparts B-E, DHS Directive 026-04, *Protection of Human Subjects*, and DHS Instruction 26-04-001, *Ensuring Human Subjects Research Compliance*, prior to initiating any work with human subjects under this Award. Each Recipient and any Recipient institutions planning to perform research involving human subjects under this Award must submit, through the DHS Program Manager, the documentation outlined in this section for CAPO review.

1. **Requirements for Research Involving Human Subjects.** Each Awardee conducting research involving human subjects under this Award is required to have a project-specific Certification Letter, a determination memo, or a memo of concurrence with an IRB's research or exemption determination issued by the CAPO. Each Recipient must submit the following documentation to the CAPO for compliance review and clearance **prior to initiating research involving human subjects under this Award:**
 - a. Research protocol, as approved by an Institutional Review Board (IRB), for any human subjects research work to be conducted under this Award;
 - b. IRB approval letter or notification of exemption (see additional information below on exemption determinations), for any human subjects research work to be conducted under this Award.
 - c. IRB-approved informed consent document(s) or IRB acknowledgement of a waiver or alteration of informed consent for projects involving human subjects research under this Award;
 - d. Any applicable IRB-approved surveys/questionnaires and recruitment materials;
 - e. Federal-wide Assurance (FWA) number from the Dept of Health and Human Services (DHHS) Office for Human Research Protections (OHRP) for all Recipient institutions (including Sub-recipients) engaged in human subjects research under this Award;
 - f. IRB registry number for the IRB of Record (IRB0000XXXX) and the IRB Panel Number (if reviewed by the full board);
 - g. The DHS-approved Statement of Work (SOW) or workplan; and
 - h. DHS CAPO's Cover Sheet and Document Checklist.

Exemptions for Research Involving Human Subjects. Exemption determinations for

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human subject research to be conducted under this Award should only be made by authorized representatives of (1) an OHRP-registered IRB, or equivalent, or (2) DHS CAPO. Exemption determinations made by an OHRP-registered IRB, or equivalent, should be submitted by the Recipient to the DHS PM who will provide to CAPO per DHS Directive 026-04. Program managers, principal investigators, research staff, and other DHS or institutional personnel should not independently make exemption determinations in the absence of an IRB or CAPO review. Those without access to an IRB seeking an exemption determination from the CAPO should submit a request to the DHS PM to be provided to CAPO and it should include the following:

- a. Research protocol or detailed description of planned activities to be conducted under this Award;
- b. A complete CAPO Human Subjects Research Determination Request Form (HDRF);
- c. The DHS-approved Statement of Work (SOW) or workplan;
- d. Any applicable informed consent document(s);
- e. Any applicable surveys/questionnaires and recruitment materials; and
- f. Identification of the exemption category that applies to the project(s) to be conducted under this Award and explanation of why the proposed research meets the requirements for that category of exemption

All documentation, as well as any questions or concerns regarding the requirements referenced above, should be submitted through the DHS Program Manager to the CAPO. The submitted documentation will be retained by the CAPO and used to conduct a regulatory compliance assessment. Additional documentation and/or information may be required in some cases to complete this assessment. The Recipient must provide this documentation and information upon request. All compliance issues or concerns raised by the CAPO must be addressed in writing and resolved before a certification letter, determination memo, or memo of concurrence is issued and prior to initiation of any activities involving human volunteers under this Award. The CAPO will review all submitted materials and provide written confirmation to the DHS Program Manager and the Recipient once all documentation requirements have been met.

The Recipient and any Recipient institution shall submit updated documentation regarding ongoing research involving human subjects, as available and **prior to the expiration of previous approvals**. Such documentation includes protocol modifications, IRB renewals for ongoing research protocols (“Continuing Reviews”), reportable events, and notifications of study completion.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing noncompliance with human subjects research regulations and policies adopted by DHS (as referenced above); and (2) suspension, termination, or revocation of IRB approval of any human subjects research activities conducted under this Award.

Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are

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subject to all DHS and CAPO requirements for research involving human subjects. All entities involved in activities under this Award must comply with applicable national and regional/local regulations, and standards and guidelines equivalent to those described for U.S. institutions; e.g., 6 C.F.R 46 and 45 C.F.R. § 46, Subparts B-E, as applicable. The CAPO will evaluate compliance measures for these institutions on a case-by-case basis to determine their sufficiency. The Recipient must not initiate nor provide funds for the conduct of work involving human subjects at foreign institutions under this Contract without formal written approval from the CAPO.

H. COMPLIANCE WITH U.S. EXPORT CONTROLS

Activities performed by the Recipient and any Recipient institution under this Award may or may not be subject to U.S. export control regulations. The Recipient and any Recipient institution shall conduct all such activities, to include any and all DHS-funded research and development, acquisitions, and collaborations in full compliance with all U.S. export controls—to include but not limited to the Export Administration Regulations (EAR), the International Traffic in Arms Regulations (ITAR), and the Office of Foreign Assets Control (OFAC) Regulations. The Recipient and any Recipient institution will ensure that all legal requirements for compliance with U.S. export controls are met prior to transferring commodities, technologies, technical data, or other controlled information to a non-U.S. person or entity.

I. CONTROLLED UNCLASSIFIED INFORMATION

The parties understand that information and materials provided pursuant to or resulting from this Award may be export controlled, sensitive, for official use only, or otherwise protected by law, executive order or regulation. The Recipient is responsible for compliance with all applicable laws and regulations. Nothing in this Award shall be construed to permit any disclosure in violation of those restrictions.

Awards are intended for unclassified, publicly releasable research. The awardee will not be granted access to classified information. DHS does not expect that the results of the research project will involve classified information.

If, however, in conducting the activities supported under an award, the PI or co-PI is concerned that any of the research results involve potentially classifiable information that may warrant Government restrictions on the dissemination, they shall notify the DHS PM to coordinate review and remediation.

J. INTELLECTUAL PROPERTY, PATENT, AND DATA RIGHTS

Patent rights.

The Recipient is subject to applicable regulations governing patents and inventions, including government-wide regulations, 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements.”

Invention Disclosure and Related Requirements

The clause at 37 CFR 401.14, “Standard Patent Rights Clauses,” is incorporated by reference herein. [37 CFR 401.14\(c\)\(1\)](#) requires the disclosure of each subject invention to the Federal Agency within two months after the inventor discloses it in writing to contractor personnel responsible for patent matters. Under [35 U.S.C. 201\(d\)](#), an invention means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the U.S. Code, or any novel variety of plant which is or may be protectable under the Plant Variety Protection Act. Invention disclosure statements shall be made by creating an invention record using the Interagency Edison system website at: <http://www.iedison.gov> .

Data rights.

1. 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 Award and provided to the Government;
 - b. Any data owned by third parties that contributed in the data provided to the Government under this Award; or
 - c. Any data requested in paragraph 2 below, if incorporated in the Award.

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

2. Additional requirement for this Award.

- a. Requirement: If the Government believes that it needs additional research data that was produced under this Award, the Government may request the research data and the Recipient agrees to provide the research data within a reasonable time.
- b. Applicability: The requirement in paragraph 2.a of this section applies to any research data that are:
 - i. Produced under this Award, either as a Recipient or sub-recipient;
 - ii. Used by the Government in developing an agency action that has the force and effect of law; and
 - iii. Published, which occurs either when:
 1. The research data is published in a peer-reviewed scientific or technical journal; or
 2. DHS publicly and officially cites the research data in support of an agency action that has the force and effect of law
- c. Definition of “research data:” For the purposes of this section, “research data:”
 - i. Means the recorded factual material (excluding physical objects, such as laboratory samples) commonly accepted in the scientific community as necessary to validate research findings.
 - ii. Excludes:
 1. Preliminary analyses;
 2. Drafts of scientific papers;
 3. Plans for future research;

4. Peer reviews;
 5. Communications with colleagues;
 6. Trade secrets;
 7. Commercial information;
 8. Materials necessary that a researcher must hold confidential until they are published, or similar information which is protected under law; and
 9. Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.
- d. Requirements for sub-awards: The Recipient agrees to include in any sub- award made under this Agreement the requirements of this award term (Patent Rights and Data Rights) and **DHS Standard Terms and Conditions award term (Copyright).**

K. PROGRAM INCOME

Post-award program income:

In the event program income becomes available to the recipient post-award, it is the recipient's responsibility to notify the DHS Grants Officer to explain how that development occurred, as part of their request for guidance and/or approval. The Grants Officer will review approval requests for program income on a case-by-case basis; approval is not automatic. Consistent with the policy and processes outlined in 2 C.F.R. Part 200, pertinent guidance and options, as determined by the type of recipient and circumstances involved, may be approved by the Grant Officer.

If approval is granted, an award modification will be issued with an explanatory note in the remarks section of the face page, concerning guidance and/or options pertaining to the recipient's approved request. All instances of program income shall be listed in the progress and financial reports.

L. PUBLICATIONS

1. Publications. All publications produced as a result of this funding which are submitted for publication in any magazine, journal, or trade paper shall carry the following:
 - a. Acknowledgement. "This material is based upon work supported by the U.S. Department of Homeland Security under Grant Award Number **as outlined in Item #4 on the Notice of Award.**"
 - b. Disclaimer. "The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the U.S. Department of Homeland Security."

Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Publications).

2. Use of DHS Seal and DHS S&T Logo.

Recipient shall not use the DHS seal. Recipient shall acquire DHS's approval prior to using the DHS S&T logo.

Enhancing Public Access to Publications: Per Article I. Section A. DHS requires that the Recipient shall forward one electronic (PDF) copy of all publications generated under this award to the **Program Officer** at the time of publication. The Awardee will make all publications publicly available via the DHS Storefront in PubMed Central (PMC): <https://www.ncbi.nlm.nih.gov/pmc/funder/dhs/> in a manner consistent with copyright law no later than 12 months after the official date of publication. DHS Policy explicitly recognizes and upholds the principles of copyright. Authors and journals can continue to assert copyright in publications that include research findings from DHS-funded activities, in accordance with current practice. While individual copyright arrangements can take many forms, DHS encourages investigators to sign agreements that specifically allow the manuscript or software to be deposited with DHS for U.S. Government use after journal publication. Institutions and investigators may wish to develop particular contract terms in consultation with their own legal counsel, as appropriate. But, as an example, the kind of language that an author or institution might add to a copyright agreement includes the following: "Journal (or Software recipient) acknowledges that the Author retains the right to provide a final copy of the final manuscript or software application to DHS upon acceptance for Journal publication or thereafter, for public access purposes through DHS's websites or for public archiving purposes."

M. SITE VISITS

The DHS, through authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems and to provide such technical assistance as may be required. If any site visit is made by the DHS on the premises of the Recipient, or a contractor under this Award, the Recipient shall provide and shall require its contractors to provide all reasonable facilities and assistance for the safety and convenience of the Government representatives in the performance of their duties. All site visits shall be performed in such a manner that will not unduly delay the work.

N. TERMINATION

Either the Recipient or the DHS may terminate this Award by giving written notice to the other party at least thirty (30) calendar days prior to the effective date of the termination. Failure to adhere to the terms and conditions may result in award termination. All notices are to be transmitted to the DHS Grants Officer via the email address identified on the Notice of Award. The Recipient's authority to incur new costs will be terminated upon arrival of the date of receipt of the letter or the date set forth in the notice. Any costs incurred up to the earlier of the date of the receipt of the notice or the date of termination set forth in the notice will be negotiated for final payment. Closeout of this Award will be commenced and processed pursuant to 2 CFR 200.344.

O. TRAVEL

Travel required in the performance this Award must comply with [2 C.F.R. Part 200](#).

Foreign travel must be approved by DHS in advance and in writing. Requests for foreign travel identifying the traveler, the purpose, the destination, and the estimated travel costs must be submitted to the DHS Grants Officer 60 days prior to the commencement of travel.

P. CLASSIFIED SECURITY CONDITION

1. "Classified national security information," as defined in Executive Order (EO) 12958, as amended, means information that has been determined pursuant to EO 12958 or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.
2. No funding under this award shall be used to support a contract, sub-award, or other agreement for goods or services that will include access to classified national security information if the award recipient itself has not been approved for and has access to such information.
3. Where an award recipient has been approved for and has access to classified national security information, no funding under this award shall be used to support a contract, sub-award, or other agreement for goods or services that will include access to classified national security information by the contractor, sub-awardee or other entity without prior written approval from the DHS Office of Security, Industrial Security Program Branch (ISPB), or, an appropriate official within the Federal department or agency with whom the classified effort will be performed.
4. Such contracts, sub-awards, or other agreements shall be processed and administered in accordance with the DHS "Standard Operating Procedures, Classified Contracting by State and Local Entities," dated July 7, 2008; EOs 12829, 12958, 12968, as amended; the National Industrial Security Program Operating Manual (NISPOM); and/or other applicable implementing directives or instructions.
5. Immediately upon determination by the award recipient that funding under this award will be used to support such a contract, sub-award, or other agreement, and prior to execution of any actions to facilitate the acquisition of such a contract, sub-award, or other agreement, the award recipient shall contact ISPB, or the applicable Federal department or agency, for approval and processing instructions.

DHS Office of Security ISPB contact

information: Telephone: 202-447-5346

Email:

DD254AdministrativeSecurity@hq.dhs.gov

Mail: Department of Homeland Security

Office of the Chief Security Officer

ATTN: ASD/Industrial Security Program Branch

Q. GOVERNING PROVISIONS

The following are incorporated into this Award by this reference:

31 C.F.R. 205	Rules and Procedures for Funds Transfers
2 C.F.R. Part 200	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards Grant Application and Assurances dated January 2023

R. ORDER OF PRECEDENCE

1. 2 C.F.R. Part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.”
2. The terms and conditions of this Award.
3. Application and Assurances dated January 2023