

**CENTER OF EXCELLENCE (COE)**  
**COOPERATIVE AGREEMENT TERMS AND CONDITIONS**  
**GRANTS AND FINANCIAL ASSISTANCE DIVISION (GFAD)**

In addition to the **DHS Standard Terms and Conditions** as outlined here: <http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions> , 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.
2. Recipient shall compete fully and fairly, to the maximum extent practicable, all projects funded under this Award unless DHS has provided written approval 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, 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.
  - a. Annual work plans must provide information on the overall activities of the Center. The work plan shall include:
    - i. Summary of the Center's strategic vision and activities;
    - ii. Summary of Center communication and transition activities;
    - iii. Summary of Center management efforts including management decision making apparatus and review process to monitor project progress;
    - iv. Detailed descriptions on each Center project (including sub-recipient projects) to include:
      - o Abstract (objectives, outcomes, value proposition)
      - o Objective/Purpose
      - o Baseline
      - o Methodology
      - o Project milestones
      - 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 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. DHS requires Centers to submit a budget that maps to the key competencies and activities necessary for a Center to deliver useful technologies and knowledge products to the Department. The competency areas also align to the criteria DHS utilizes to evaluate its Centers of Excellence Program. Centers should allocate resources in the following categories: Administration & Execution, Research & Development, Education & Training, Customer Outreach & Communication, and Transition. The following categories should be included in the budget request. Centers should work with PM's to identify minimum expenditures in each category necessary to address Biennial Evaluation Criteria:

1. Administration and Execution (labor)

- a. Director
- b. Executive Director
- c. Professional Project Management Staff & Financial Staff
- d. Travel to sub-contractor sites

2. Research and Development

- 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)

3. 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)
- h. MSI program support (labor)

4. Customer Outreach and Communication

- a. Professional Strategic Communications Expert (labor)
- b. Communications support staff (labor)
- c. Travel for all Center 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)

5. Transition

- 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 reviews of the research and education efforts funded under this Award annually, at a minimum, or as determined by the DHS Program Officer.

5. Recipient shall participate in a DHS managed, biennial review of the Center's progress against milestones, scientific quality, and commitment from the end user for the activities funded under this Award. The DHS Program Officer will select a review panel of subject matter experts representing government, industry and academia, to the extent practicable.

6. Recipient shall participate in at least two DHS Science and Technology (S&T) outreach events per year for the purposes of sharing information on the research, development, and education efforts funded under this Award.

7. Recipient agrees to work with the technology transfer office of recipient's institution to engage in technology transfer and commercialization activities, as appropriate.

8. DHS has an interest in publications generated from DHS-funded research for program awareness. The 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.

9. Co-Authoring of Reports and Articles. Papers, presentations, or other documents co-authored by a DHS employee and a COE researcher will be subject to DHS's publications approval process prior to dissemination of the publication by the authors. Recipient 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 Privacy Officer 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 11d for data definitions):

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 provided.

iv. A plan for the disposal or retention of the data after the research ends.

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.

11. Information Protection Plan: The Parties agree that all research conducted under this Award is intended to have publicly releasable results. Accordingly, no research under this Award should involve, use, or generate sensitive information, which includes PII, and/or classified information (see Item d of this section for Definitions). As a condition of access to this Center of Excellence, 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. 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.

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. Recipient will submit its plan to the DHS Program Officer for review and comment within thirty (30) days of award. The Recipient will be notified of any concerns that may be identified once the plan is reviewed by DHS. The recipient will review the Information Protection Plan at least annually and update as necessary for new or existing areas of research that may involve sensitive information. Recipient will submit any updates to the Information Protection Plans along with annual reports to the DHS Program Officer for review and comment.

a. 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.

b. 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.

c. 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.

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.

e. Definitions: For purposes of this section.

i. 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:

o 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);

o 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

o 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.

o 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 this Center of Excellence, 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, principle 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. 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 1105 by email to: [Rebecca.Medina@hq.dhs.gov](mailto:Rebecca.Medina@hq.dhs.gov). Do Not Use the "Submit" button on the form. Form 11055 shall be submitted within 30 days of the end of the budget period for the upcoming annual workplan. For individual engagements with Foreign Nations, the Recipient will submit Form 11055 at least 30-days prior to the activity in which the foreign nationals participate. Please indicate your Center of Excellence affiliation and 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 CFR § 215 "Uniform Administrative Requirement for Grants and Agreements with Institutions for Higher Education, Hospitals" and 37 CFR § 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 COE 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 COE 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;
  - 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 Center 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. COE Science and Engineering Workforce Development:

Should the COE 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 COE may use COE 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 of their COEs.

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 COE's research area.



c. All students supported by COE Workforce Development funds shall report directly to COE faculty or staff and shall work primarily on COE projects. Student participation in COE activities must take precedence to other research or employment for students to be eligible for COE support. COE activities include but are not limited to the following: supporting COE management activities, working on COE research projects, teaching, and experiential learning related to COE 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 COE funds. DHS expects a net increase in the number of students supported in COE programs funded through this section. These funds must be awarded only to newly supported students.

e. All COEs 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 COE'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 the program.
3. Must major in science and engineering-related discipline associated with the COE research areas. These funds may not be used to support the completion of professional degrees (law school, medical school, etc.)
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. A commitment to facilitate student attendance at a professional conference within a science and engineering-related field of study.
6. A description of how the COE will assign qualified academic mentors for each recipient from the student's field of study.
7. A plan to make awards within one year of receipt of funds. Recipient institutions must award tuition assistance and stipends to students attending COE-affiliated institutions and working on COE research, development or technology transition projects. The students must be supported for up to 2 years for undergraduates and 3 years for graduate students or for the duration of their studies whichever is less. COEs may adjust this amount to account for other monetary awards to individual students.

8. 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 \$1,200 per month for twelve months. Stipends can be less than \$1,200 per month if appropriate for the geographic region or if paid summer internships can be secured.

9. 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 \$2,700 per month for twelve months. Stipends can be less than \$2,700 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 COE approved research or are operational venues that work in the COE 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 obtain paid employment within the Homeland Security Enterprise (DHS, federal/state/local government, etc.) for at least one year after graduation.

1. Employment requirement will be waived for those entering the military/military school, or with a commitment to teach Science and Engineering at the elementary or secondary level.
2. Undergraduate students will be allowed a deferment of the one-year service requirement if they have been accepted into a Science and Engineering related graduate program. Include a plan for managing and tracking this type of deferment.

v. An approach to evaluating student success

vi. A plan to monitor the activity of individual students to assure compliance with program requirements; develop a mitigation strategy; and establish procedures to ensure funds are used appropriately.

vii. A plan to monitor student's homeland security employment placement for up to six years after graduation from the program.

## **B. DHS PROGRAMMATIC INVOLVEMENT**

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, Center staff and Center researchers prior to project initiation.
2. DHS shall approve or disapprove annual work plans and any modifications to the work plans for this Award (See Article 1, A.).

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 biennial 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 consistent with the COE mission. The biennial review evaluates the Center's long-term strategy, relevance of the research and education to DHS mission needs and technology gaps, stakeholder engagement, research quality, outreach efforts and management of the activities funded under this Award. The DHS Program Officer will select a review panel of subject matter experts representing government, industry and academia for the biennial review.

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 COE 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.

10. DHS may create a Board of Directors that provides guidance and direction to the DHS Program Officer regarding the Recipient's research plan.

11. DHS may invite subject matter experts, end users, 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 facilitate initial engagement with Homeland Security Enterprise stakeholders, but recipient is expected to maintain ongoing engagement for research areas of interest to the stakeholders.

## C. AMENDMENTS AND REVISIONS

### 1. Budget Revisions.

- a. The Recipient shall obtain prior written approval from the DHS Grants Officer for 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 approved budget.
- 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.

### 2. 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 due with the Final Progress Report 120 days after the expiration of the project period, and shall be submitted via GrantSolutions using the help/support guidance found here:  
<https://www.grantsolutions.gov/support/pfd/GrantRecipientProcessPerformanceProgressReport.pdf>

## E. FINANCIAL REPORTS

1. Annual Federal Financial Reports. The Recipient shall submit a Federal Financial Report (SF-425) into the GrantSolutions system no later than thirty (30) days after the end of the budget period end date. The report shall be submitted via GrantSolutions using the FFR submission guidance found here: <https://www.grantsolutions.gov/support/granteeUsers.html>.

2. Final Federal Financial Report. The Recipient shall submit the final Federal Financial Report (SF-425) into the GrantSolutions system no later than 120 days after the end of the reporting period end date. The report shall be submitted via GrantSolutions using the FFR submission guidance found here: <https://www.grantsolutions.gov/support/granteeUsers.html>.

3. Quarterly Federal Financial Reports (Cash Transaction). The Recipient shall submit the Federal Financial Report (SF-425) 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**

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.

Any overpayment of funds must be coordinated with the U.S. Department of Health and Human Services/Payment Management System.

## **G. PERFORMANCE REPORTS**

1. Annual Performance Reports. The Recipient shall submit semi-annual performance reports into the GrantSolutions system for review and acceptance by DHS as a condition for receiving further annual funding increments. Semi-Annual performance reports are due six (6) months after the start of each budget year (July 1) and no later than sixty (60) days after the end of the Center's budget period of each year. Annual reports must provide a summary of the activities conducted during the prior budget year. The report shall be submitted via [www.GrantSolutions.gov](http://www.GrantSolutions.gov) using the performance reporting feature and submission guidance found here: <https://www.grantsolutions.gov/support/granteeUsers.html>

- a. Performance reports must provide information on the overall progress of the Center 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 Center's strategic vision and support justification
  - ii. Summary of Center communication and transition activities;
  - iii. Summary of Center management efforts including decision making apparatus;
  - iv. Performance reports on each Center Project should include:
    - o Explanation of any changes from the initially approved workplan
    - o Objective/Purpose
    - o Baseline

- o Methodology
- o Project milestones
- 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 (narrative and figures) categorized by both object class and project as described in Article I, A, item 3.v.

vi. If applicable, include a certification that no patentable inventions were created during the budget period.

vii. Updates to the Center'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\*\*\*\*\*

2. Annual COE Science and Engineering Workforce Development Report. COEs working with DHS through the COE science and engineering workforce development initiative will submit a separate Science and Engineering Workforce Development Annual Performance Report to the DHS Grants Officer.

a. The report shall compare actual accomplishments to the approved project objectives and shall include:

i. A program overview section on the goals, objectives and accomplishments to date; total number of students supported; total number of students graduated; total number of students still enrolled; number of graduate students supported; number of undergraduate students supported; total number of students currently employed full time in a Homeland Security related position

ii. A student report 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; copy of student resume.

3. Final Performance Report. The Recipient shall submit the Final COE Performance Report into the GrantSolutions system no later than 120 days after the expiration of the Project Period (See Section H). The report shall be submitted via GrantSolutions using the Grant Note submission guidance found here: <https://www.grantsolutions.gov/support/pdf/GrantRecipientProcessPerformanceProgressReport.pdf>.

- a. The Final COE 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.

4. The Final COE Science and Engineering Workforce Development Performance Report. COEs working with DHS through the COE science and engineering workforce development initiative will submit final reports within ninety (90) days after the expiration date of the performance period of this initiative to the DHS Grants Officer.

- a. The Final COE Science and Engineering Workforce Development Performance Report shall include:
  - i. Post completion employment plans for each student scholar/fellow or an explanation for student leaving the program.
  - ii. Summary of research accomplishments and contributions, post-award activity and post-graduation placement, new skills or knowledge acquired

## 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 reflected in the Notice of Award, block 5 and the current budget period in block 7. All COEs' annual performance periods shall run from July 1 to June 30 of the following year. An exception is made for the first performance period, which will run from the date of award to June 30 of the following year. Subsequent years' funding is contingent on acceptable performance, as determined by the Department of Homeland Security's (DHS's), acceptance and approval of each non-competing continuation application, and the availability of the next year's annual DHS appropriations. 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 [www.GrantSolutions.gov](http://www.GrantSolutions.gov). 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 as described in Article A, Item 3

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 (e.g., March 31) 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,
3. The reason the projects or activities were not completed in 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.

iv. COE Science and Engineering Workforce Development annual workplan and budget justification: COEs retain the ability to balance financial support as appropriate if students have or will receive other sources of funding. Should the COE work with DHS through this initiative, the recipient will submit an annual workplan described in Article 1, A, Item 16.

## **I. PRIOR APPROVAL REQUIRED**

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 three (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 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 TERMS AND CONDITIONS**

The Compliance Assurance Program Office (CAPO) is comprised of the DHS Treaty Compliance Office (TCO), Export Control Group (ECG), and the DHS Regulatory Compliance Office (RCO). The Compliance Assurance Program Manager (CAPM) is the DHS official responsible for overseeing CAPO and 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, Life Sciences Dual Use Research of Concern, and Export Controls.

CAPO collects and reviews relevant documentation pertaining to this Award on behalf of the CAPM. 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, Compliance With, and Implementation of, Arms Control Agreements, 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.
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 must submit the following documentation for review and approval prior to any project modification and/or whenever in the course of project execution an issue potentially raises a compliance concern** : an updated Treaty Compliance Form and an updated Statement of Work detailing the proposed modification. The proposed project modification must receive written approval from CAPO prior to initiation. Examples of project modifications include – but are not limited to—the addition of agents, a change in performer, modifications to the scope of work, and changes to the technical approach.

The Recipient should contact the CAPO regarding treaty compliance issues at [treatycompliance@hq.dhs.gov](mailto:treatycompliance@hq.dhs.gov) to: obtain the TCF, submit the completed Form, and/or request additional guidance regarding treaty compliance documentation and review requirements, as applicable to (1) new biological and/or chemical defense-related efforts, or (2) modifications to previously approved efforts. 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.**

## 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, Rev 01, Biosafety; DHS Instruction 066-02-001, Biosafety; ; 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 contact the CAPO at [STregulatorycompliance@hq.dhs.gov](mailto:STregulatorycompliance@hq.dhs.gov) 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 laboratory activities involving: (1) recombinant or synthetic nucleic acid molecules; (2) Biological Select Agents and Toxins or 'BSAT'; or (3) biological agents, toxins, 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), 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 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 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 five (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 in Section B.1 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 CAPO at [STregulatorycompliance@hq.dhs.gov](mailto:STregulatorycompliance@hq.dhs.gov) 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 CAPO 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, Rev 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, 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 facilities/laboratories involved in DHS-funded work; and

d. Most recent Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) inspection report(s) 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 CAPO at [STregulatorycompliance@hq.dhs.gov](mailto:STregulatorycompliance@hq.dhs.gov). 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.

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 inspection report, 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 Dual Use Research of Concern* and *USG Policy for the Institutional Oversight of 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. 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 under this award must submit the following documentation outlined in this section for CAPO review. Institutions were required to implement the policy on or by September 24, 2015.

1. 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 under this Award must submit the following documentation for compliance review by CAPO prior to the initiation of such activities.

- a. 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);
- b. Institution's project-specific risk mitigation plan, as applicable;
- c. DURC training or education program description;
- d. Formal annual assurance of compliance with the USG Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern;
- e. A completed iDURC form and a Statement of Work.

2. Required Notifications to DHS:

- a. Within thirty (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 thirty (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 Dual Use Research of Concern* and 6.2.1 of the *USG Policy for the Institutional Oversight of Dual Use Research of Concern* .

The Recipient should contact CAPO at [STregulatorycompliance@hq.dhs.gov](mailto:STregulatorycompliance@hq.dhs.gov) to submit documentation or to request more information regarding the DHS regulatory documentation and compliance review requirements. CAPO will provide written confirmation of receipt of all required documentation to the designated Points of Contact. 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 should contact CAPO at [STregulatorycompliance@hq.dhs.gov](mailto:STregulatorycompliance@hq.dhs.gov) to submit documentation. 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. 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 CFR. § 46, Subparts A, and 45 CFR. § 46, Subparts B-D, DHS Directive 026-04, Rev 01, Protection of Human Subjects, and DHS Instruction 026-04-001, 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 the documentation outlined in this section for CAPO review.



1. Requirements for Research Involving Human Subjects. Each facility conducting work involving human subjects under this Award is required to have a project-specific Certification of Compliance letter issued by the CAPO. Each Recipient must submit the following documentation to the CAPO for compliance review and certification **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) (templates) or IRB waiver of informed consent for projects involving human subjects research under this Award; and
- d. Federal-wide Assurance (FWA) number from the HHS Office for Human Research Protections (OHRP), or documentation of other relevant assurance, for all Recipient institutions (including Sub-recipients) involved in human subjects research under this Award.

2. **Exemptions for Research Involving Human Subjects**. Exemption determinations for 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) the CAPO. Exemption determinations made by an OHRP-registered IRB, or equivalent, should be submitted to the CAPO for review and record-keeping. Program Officers, 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. DHS Program Officers (or institutions conducting human subjects' research under this Award) seeking an exemption determination from the CAPO should submit a request to [STregulatorycompliance@hq.dhs.gov](mailto:STregulatorycompliance@hq.dhs.gov) that includes the following:

- a. Research protocol or detailed description of planned activities to be conducted under this Award.
- b. 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 to the CAPO at [STregulatorycompliance@hq.dhs.gov](mailto:STregulatorycompliance@hq.dhs.gov). The submitted documentation will be retained by the CAPO and used to conduct a regulatory compliance assessment. Additional documentation may be required in some cases to complete this assessment. The Recipient must provide this documentation upon request, and address in writing any compliance issues or concerns raised by the CAPO before a certification letter is issued and participant enrollment can begin under this Award. The CAPO will review all submitted materials and provide written confirmation to 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”), 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 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., 45 CFR. § 46, including all Subparts, as relevant). 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 U.S. export controls—to include 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. Upon DHS request, the Recipient and any Recipient institution must provide to CAPO documentation and any other information necessary to determine satisfaction of this requirement.

All documentation, as well as any questions or concerns regarding export controls, should be submitted to the CAPO at [exportcontrols@hq.dhs.gov](mailto:exportcontrols@hq.dhs.gov).

## 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.

## J. INTELLECTUAL PROPERTY, PATENT, AND DATA RIGHTS

### Patent rights.

The Recipient is subject to applicable regulations governing patents and inventions, including government-wide regulations issued by the Department of Commerce at 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements." The clause at 37 CFR 401.14 is incorporated by reference herein. All reports of subject inventions made under this Award should be submitted to DHS 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 CFR 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 {insert Award Number as outlined in Item #5 on Notice of Award cover page}."
- 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.

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

3. Enhancing Public Access to Publications. Per Article I. Section A, DS 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 COE 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 and evaluations 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 registered or certified mail, return receipt requested. 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 §200.339.

## O. TRAVEL

Travel required in the performance of the duties approved in this Award must comply with 2 CFR Part 200.474.

***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 sixty (60) days prior to the commencement of travel.

## P. GOVERNING PROVISIONS

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 DBS 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  
Washington, D.C. 20528

## Q. GOVERNING PROVISIONS

The following are incorporated into this Award by this reference:

31 C.F.R. Part 205	Rules and Procedures for Funds Transfers
2 C.F.R. Part 200	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
Application	Grant Application and Assurances dated ___[DATE]_____ as revised, ___[DATE]_____.

## R. ORDER OF PRECEDENCE

1. 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."
2. The terms and conditions of this Award
3. The Funding Opportunity, \_\_\_[FOA NUMBER]\_\_\_\_\_, \_\_\_[FOA TITLE]\_\_\_\_\_
4. Application and Assurances dated \_\_\_[DATE]\_\_\_\_\_, \_\_\_[DATE]\_\_\_\_\_